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EVIL AND REDEMPTION IN *LORD OF THE FLIES*

CONCEPCION B. BANAAG

Many attempts to explain Golding's much discussed *Lord of the Flies* have referred to the novel as a modern myth. Other critics have tried to classify the work as fable, allegory, or religious novel. Golding himself prefers to be regarded as a re-shaper of myths, for myth is not only a clever story like the fable, but something that strikes at the roots of human existence and gives an explanation of the meaning of life here and after.

Lord of the Flies is a modern expression of the condition of man, his guilt and responsibility, soul and salvation. Lecturing at Johns Hopkins University in 1962, Golding said that *Lord of the Flies* is a study of sin—an attempt to trace the defects of society to the defects of human nature, to the original evil. It is anti-Rousseavian in that it exposes that human nature, far from being naturally good, has some defect for which civilization and society are not responsible. Throughout the novel runs the terrible irony of man's propensity to return to savagery after the symbols of a notable civilization—the choir robes—are shed off.

The enormous value of the book lies in its symbolic representation. The narrative line is deceptively simple: the exciting adventure of a group of school boys in an idyllic island, and their horrible and progressive reversion to savagery. But early in the book, the reader cannot escape feeling that he is coming in contact with a different reality, a cosmic drama. The improbable situations, the suggestion of timelessness, the unnamed island, the absence of adults, the children's natural acceptance of their situation, the tension between fiction and reality—all help to prepare the reader for a hidden message. One wonders how Golding could so naturally convince without further questioning, and make this simple adventure bear the burden of his philosophical beliefs.

This highly original work admits various levels of interpretation.

It may be interpreted as the Christian account of the Fall, or as a satire on the incapacity of contemporary institutions to overcome man's inherent attachment to evil. It may be read as a history of mankind and its different endeavors to impose order in its existence: philosophies, economics, politics, societal laws.

It is useful to note at once that Golding isolates his characters in a world all their own to purify them to a certain extent from the effects of civilization, and thence to examine this society in its primary form. They are not entirely free from any influence for they are all British boys who have received some kind of schooling. Whether Golding wants us to interpret the people of this microcosm as the various types of people and organizations in a society, or as the different factors of the human psyche put into play in a period of stress, is not clear. In the first interpretation, we have the types of dictator, parliamentarian, visionary, activist, and non-activist, and the different qualities and defects of these peoples and groups. In the second, we have the will, intelligence, conscience, sensuality, and the capacity of the human being for self-destruction when the brutal instincts are allowed to take the upper hand in human activity. However, it is not difficult to correlate the various levels of meaning, for all of them converge in the tremendous human potentiality for evil, and the inadequacy of purely human institutions to quell these destructive forces in man.

In a swift moving account, we are introduced into the group of young castaways, whose ages range from five to twelve, with a notable majority of "littluns." The bigger boys are Ralph, Piggy, Jack, Simon, and Roger, each with his own psychological and sociological views.

Early in the novel, we are given the key problem, rescue. And this rescue is more than a mere survival. After all, the boys are in a modern Eden, a tropical paradise with beautiful scenery, abundance of bathing pools, fruits, and harmless animals. Ralph poses the question: "I could swim when I was five. Daddy taught me. He's a commander in the Navy. When he gets leave, he'll come and rescue us." Piggy is intelligent enough to question Ralph's easy solution to

the problem. The problem rapidly expands to religious dimensions: what must I do in order to be saved?

To solve the problem of survival, the boys quickly organize themselves into assemblies and groups. A conch, which afterwards is to be the symbol of order, summons all the boys of the island to a meeting. After a "toy voting," Ralph was elected chief, to the chagrin of Jack, who thought himself more deserving of the honor; the latter was once leader of the Cathedral choir that now finds itself on the island. There was no reason for Ralph's election. What intelligence had been shown was traceable to Piggy, while the most obvious leader was Jack. But there was a stillness about Ralph that marked him out, his size and attractive appearance, and by some mysterious fashion, the delicate conch balanced between his knees.

Though the boys were thrilled with the absence of grown-ups and the prospects of play, the problem of salvation is felt as an immediate one, and the leaders explore the island to examine their true situation and the possibilities of rescue. Ralph was afterwards to remember this enthusiastic exploration as though it were part of a brighter childhood.

Everything goes well until fear makes its entrance into the little island society. The need for rescue becomes more pressing, but while Ralph and Piggy take rescue in terms of salvation, Jack conceives rescue in terms of physical survival. Hence, while Ralph's and Piggy's energies are dedicated to the building of a signal smoke on the mountain, Jack's are on organizing his choristers, now turned hunters, into a system of hunting with painted faces.

The first serious antagonisms and disintegrations in the island society take place when a ship passes, but there is no signal smoke because the fire has gone out. Jack had taken the fire watchers in quest of meat. Ralph and Piggy berate Jack and his hunters about the fire, and in the scuffle that ensues, Jack breaks half of Piggy's spectacles, much needed for the building of the fire.

Ralph calls an assembly and tries to re-adjust values, to reinforce rules, but he has to admit: "Things are breaking up. I don't know

why. We began well; we were happy. And then...Then people started getting frightened." In the first parts of the book, the fear is initiated by the coming of night, and is first given concretion in a supposed "beastie" seen by a nameless littlun, unidentified except for the mulberry scar on his cheek. But the beastie is dismissed as a dream. The question of the beast comes up again with increasing importance, but the rationalist Piggy dismisses the question. "There are no beasts, for life is scientific, and there is no fear either, unless we get frightened of people...There are no ghosts, 'cos things wouldn't make sense. Houses an' streets and TV—They wouldn't work."

The first attempts to explain the primordial evil is made in the scene where Simon helplessly articulates that there may really be a beast, but that "maybe it's only us." Simon is defenseless against the volley of laughter that silences him.

Ralph feels the understandable and lawful world slipping away from him, and he longs for the world of grown-ups...a sign or something. A sign does come. An air battle is fought and a limp figure, an emblem of war and decay, comes down in a parachute to the paradisaical island. When the breeze blows the lines of the parachute strain taut and this pull lifts the head and chest upright so that the figure seems to peer across the brow of the mountain. Then each time the wind drops, the lines slacken and the figure bows forward again sinking its head between its knees. So as the stars move across the sky, the figure sits on the mountain-top and bows and sinks, and bows again. According to Golding, he is history—dead but unwilling to lie down. It is still actively producing results for its life is in the mind and heart of humanity.

The beast is seen by the boys, and as soon as the reality of this evil is established, a definite split in the island society takes place, and Jack gains ascendancy. Ralph and Piggy find themselves abandoned by the biguns except for Simon and the twins, and their efforts pooled together are not enough to maintain a fire. Jack asks his hunters to exorcise the beast out of their minds, and not finding this enough, he conceives a propitiation: "And about the beast. When

we kill, we'll leave some of the kill for it. Then it won't bother us, maybe."

What before began as an inoffensive group of boys enthusiastically engaged in innocent fun quickly develops into a tribe of savages with painted faces, a chief, a distinct rite and code of their own. Jack and his hunters are more and more seized with the frenzy of outwitting a live thing and of spilling blood. After each hunt, they re-enact the killing, dancing and chanting wildly in demented fashion. The tribe quickly elect Jack as chief, with headquarters established on another part of the island. Having successfully killed a pig, these demoniac savages raid Ralph and Piggy for cooking fire, and invite them to a feast. Under their paints, the hunters feel secure from self-consciousness, shame, and responsibility. Before they sit down for a communal meal, Jack had a stick sharpened at both ends, the head of the sow jammed on one end, the other rammed in the earth—a gift for the darkness: the triumph of man's lust over his reason.

From his hideout, the visionary Simon witnesses the act of propitiation. He goes near the Lord of the Flies and, in an imaginary conversation, learns that the beast is man himself—his capacity for evil. He discovers, too, the truth of the humped thing on the mountain—that the beast, though horrible, is harmless if recognized. He runs to his companions to preach the good news, and amidst the demented dancing and chanting, gets murdered and sacrificed to the beast.

From here on, the liberation into brutality that the concealing paint brought to Jack's tribe is cataclysmic. Piggy and Ralph go to Jack to claim in the name of right Piggy's spectacles that had been stolen the night before to build cooking fires. But the concept of law, of right, of order, does not apply to a maddened tribe, and the second murder in the island is committed. The horror of the novel is at its height when this tribe of masked savages systematically sweep the whole island to hunt for Ralph. We are made to understand the full implications of this hunt in the stick that the sadistic Roger sharpened at both ends, this time intended for use on a human

head. The headhunters set up a barbaric fire that scorches the whole island. The complete destruction of the little Eden is a fitting externalization of the moral corruption and anarchy in the island group. But Golding will not carry this terror too far. The readers must pass through a catharsis, and so death and evil cannot be celebrated here. When Golding has taken us to the very brink of terror, he makes a sudden change of focus, and gives us a more calm, but no less terrible view of the human predicament. Ralph is rescued by an English naval officer with his cruiser on his way to war, an ironical figure of our own more refined but bigger scale man-hunt. And for the first time since their existence on the island, Ralph gives himself up to sobs, weeping for the end of innocence, the darkness of man's heart, and the loss of his friend Piggy.

Lord of the Flies is a very serious novel. The portrayal of evil gains gigantic proportions because it is incarnated in little children—the world's symbol for innocence. Behind the simple narrative, Golding has effected a microcosmic symbol of the universe where the oldest and deepest questions of mankind are dramatized. He has made us probe into the past and has given us a new sense of man's persistent desire to search for a light with which to illumine the darkness in his heart. He uses a meta-language heavily dependent on seemingly innocent descriptions which bring about an impact of thought and emotion. The enduring value of the book will perhaps lie in the strength with which it has brought to us a recognition of our sick natures. and the concepts which many a modern man has conveniently packed away: human freedom, choice, responsibility, prayer, salvation.

But for all its simplicity of outline, it is a complex novel. There are deep psychological and philosophical overtones which Golding does not make entirely clear to us. There are constant fluctuations between mythical and Biblical patterns of thought. It we look at life in terms of myth, we get a wheel pattern; myths are recurrent patterns of thought in men sensitive to the mysteries of life. All great myths proceed from the profound anguish over the human condition and bear witness to the same yearning to reach beyond

the tangible; hence, across whatever gulfs of time and place, myths ressemble each other and are permeated with the same sense of awe. The varying civilizations may change the face of the earth, but the instincts of man remain much the same. They are the constants in the changing myths. The Bible, however, speaks to us in terms of a straight line. The underlying constant is the role of God in man. We look back at Creation, the Fall, Redemption, and look forward to eschatology. This is why when we try to equate myth with Bible, our equations inevitably fall apart.

It is difficult to translate Golding's symbols back into the ideas he intended to convey. There are symbols to which no single interpretation can be confidently assigned, since a single group of images seems to draw its meaning from various different associations. The most complex of the symbols is the pig's head, the "lord of the flies" himself. It is at once suggestive of the tone of the story, and gives the reader some feeling of discomfort allusive of decay, corruption, filth, evil. The name is a translation of the Biblical name for Satan, Beelzebub, and, as a symbol, has a decisive effect in the story. All throughout the novel, Golding makes us understand that the evil, the "beast" which the boys fear, is man himself. This is confirmed by the arrival of the dead parachutist to whom the sow's head is offered as a propitiation. The evil is in man, and the act of propitiation is man's pacting with the evil in himself. This evil in man is the explanation behind the crumbling order that Ralph could not explain, the reason why "things are what they are." In various parts of the story, however, the Beast is very reminiscent of the Apocalyptic Beast—an external supernatural force outside of man. It is first proposed as a "snake-thing" emerging from the woods,(1) then from the sea,(2) and finally from the air.(3) But the end of the story takes us far away from the Apocalypse. We have no trimphal chant which celebrates victory over the Beast. Instead, we have Ralph, shaken by spasms of grief amid the burning island. And the little ones, whose function in the story is very much like that of the chorus in a Greek tragedy, infected by Ralph's emotion, begin to shake and sob too.

The most serious difficulty in the exegesis of the novel is brought about by the figure of Simon. Golding said that he had tried to create a Christ figure in this character. In him, the portrayal of evil takes on a mythic and religious dimension. He is the prophet of his age, gifted with a unique insight, and when he comes to tell the good news, he is sacrificed to the beast. Though there are several points of analogy between him and the Christ of Christianity, there are also many points of digression. As Donald Spangler puts it in his article "Simon,"(4) he is a Christ that falls short of soteriology. No Church is founded, no redemption really won, no eschatology hinted at. He is a Christ traduced, but not glorified. The redeemer, therefore, is not the frustrated Simon. Still less can it be the naval officer and his cruiser, for this unreflecting adult seems to convey to us the message that things will remain what they are, and that the rebirth of evil takes on a wider scope with each generation of man.

In a richly symbolic work of this stature, there are many elements that count—persons, places, the conch, Piggy's spectacles, animals, actions, parts of the body, colour, number, and sounds. Fundamental in the book is the fire on the mountain. Ralph has always associated it with the idea of rescue. "The fire is the most important thing on the island...Look at us! How many are we? And yet we can't keep a fire going to make smoke. Don't you understand? Can't you see we ought to—ought to die before we let the fire go out?...You hunters! You can laugh! But I tell you the smoke is more important than the pig, however often you kill one...We've got to make the smoke up there—or die."

If we are to follow a symbolic pattern, the most plausible path seems to be to take the fire as a symbol of prayer. Indeed, the allegory between this narrative and the Christian concept of prayer seems to be more satisfying than the Promethean symbol of the stolen fire. After all, it is the incapacity of the thin veneer of human civilization to quench the fire of evil in man that the story satirizes. It is the disagreements about the building of the fire that bring about the first dissensions, and the corporate building of the fire

that relaxes this tension. In a moment of desperation, Ralph cries: "We shan't keep the fire going. We'll be like animals. We'll never be rescued." It is important that the boys first see the beast when they were watching the fire. That Jack and his hunters let the fire go out when they were hunting seems to convey to us the message that when a man abandons himself to his lusts, the first thing that he does is to let the fire of prayer die out. It is significant that the first fire is lit by Jack, for in relation to the fire and the beast, Jack is a symbol of prayer without belief, propitiation without contrition. The little cooking fires that Jack and his lot build can never bring about the smoke needed for rescue. Whenever Ralph tries to articulate about the importance of the fire, he always loses himself in a maze of thoughts that are rendered vague by his lack of words to express them. But the fire must always be kept alive, a lifelong and whole response to the divine reality, a posture of the will oriented toward the One who can reach down to our helplessness.

A critical moment with regard to the fire comes when Ralph voices the despair that begins to gnaw at his own heart. Reduced in number, the boys find it extremely difficult to maintain a fire. Ralph complains to Piggy: "I'm scared...Not of the beast. I mean I'm scared of that too. But nobody understands about the fire... Can't they see?...Without the signal smoke we'll die here?...We can't keep one fire going. And they don't care. And what's more—What's more, I don't sometimes. What'ud happen to us?" The irony—that the rescue is brought about by the barbaric fire and not by the fire of conscious effort—can only be explained by a commensurate irony: that a warring adult saves those "men of smaller growth"[5] from their true game of war.

For all its clear outlines, the work falls short in the dimension of prophecy. It has shown us a road that took us far on our journey but left us short of a permanent habitation of the spirit. There is no promise of a second coming of a redeemer, no real solution to the human dilemma, no glimpse into a transhuman existence. It is true that Golding has given us a vision of the blame in each individual soul, and this is a great step, for we do not have to grapple with

unknown forces. But the fundamental problem, more than the problem of evil, is one of redemption.

If ambiguities in the symbolism can suggest multiple layers of meaning and thus give a literary work added strength, ambiguity of message, on the other hand, is a weakness. Perhaps much of the ambiguity of the message could have been solved if evil had been given its proper hypostatization. Belzeebub, as John Peter puts it, is Jack, and Ralph, and Piggy, and you, and I, ready to manifest himself as soon as the occasion permits.(6) The work ignores the fact that evil, aside from being a force lying deep in the heart of man, is also something outside of himself. It is something that existed before man and prepared the way for man's guilt. This is what the Genesis gives us to understand in the mysterious serpent whose identity we are never told, but who, from the start appears opposed to God and His work. Mankind needs to be rescued from this evil. This is what Christian faith asks when it prays: "deliver us from (the) evil (one)."

Were evil given its proper dimension, the way would have been prepared for the Redeemer. The eschatological failure in *Lord of the Flies* can thus be attributed to the crucial failure to give evil its adequate focus. Lacking this dimension, the work could not give us the adequate supernatural force that can do battle with the supernatural evil. Such a world could only be a world without grace, divested of the Christian hope in: "...however great the number of sins committed, grace was even greater."(7)

Because man's condition is thus, will evil always abound? Will redemption finally come? Will evil triumph over the good? Perhaps after all, Golding has given us a hint at the end when the naval officer asked Ralph: "Who's boss here?" Ralph, the figure of resistance against evil, alone, deserted by the whole group who had turned savages, answers: "I am." We are told that a *little* boy, who wore the remains of a pair of spectacles at his waist, started forward, then changed his mind and stood still. Perhaps after all Golding meant to tell us that men who still believe in the power of prayer,

and who strive for redemption, undaunted by their own inadequacies, will always have a pre-eminent place in this world.

"I am very serious. I believe that man suffers from an appalling ignorance of his nature. I produce my own view, in the belief that it may be something like the truth. I am fully engaged in the human dilemma, but I see it as far more important than taxes or astronomy." This was William Golding's reply to a literary magazine's questionnaire, "The Writer and His Age."

Turned novelist after taking active part in World War II, William Golding has shown us his preoccupation with evil in all his major works. *Lord of the Flies*, his first and best known novel, appeared in 1955, followed by *The Inheritors* (1956), *Pincher Martin* (1956), *Brass Butterfly* (1958), *Free Fall* (1960), and the controversial *The Spire* (1964). In all these works, we see Golding's continuous search for shape and meaning, but whichever way he turned, he found only man's unfailing drift towards evil and his fall.

The first three novels are very closely related to each other not only in theme, but also in technique. He begins by isolating his characters in time or in space, and then traces the evil that permeates their existence. In *Lord of the Flies*, as we have seen, the boys are isolated in a nameless island. In *The Inheritors*, the characters are situated in some primitive past. This is by far the most imaginative of Golding's novels. Perhaps few writers would attempt to write about a pre-conceptual culture, and it is Golding's terrific imaginative force that has won the book its great success. *Pincher Martin* is the story of a lone survivor of a torpedoed ship who desperately tries to survive on a barren rock. All the characters in these stories struggle for survival—metaphorically, for salvation. In *Lord of the Flies*, the boys fall through retrogression. In *The Inheritors*, the Neanderthals, given incentive by the Homo-sapiens, move by progression to the same fall. Christopher Martin's experience on the rock shows him that reason and will are not enough for salvation. All three end with an unexpected change of focus in the light of

which everything that has gone before achieves a tremendous compression and is set before our view to be re-examined and understood in its deeper implications. *Free Fall* fits very well into the nexus of Golding's larger design, and is perhaps the culmination of his theme. Sammy Mountjoy reviews the episodes of his life and tries to pinpoint the moment he fell from grace. Dean Jocelin in *The Spire*, like Christopher Martin and Sammy Mountjoy, falls because he cannot see people as people, but only as instruments for a relentless purpose.

Golding situates the struggles of all his characters within a Christian framework, and he has found the correct point of departure—the sick nature which we all share. But it is only a point of departure. If he should decide to move toward the promise of Life which all of us equally share, then we can expect truly great novels with a complete view of existence from this highly inspired contemporary novelist.

NOTES

(1) *Apocalypse* 13:11. The parallelism here is not as close as it is in (2) and (3), although the "snake-thing" suggests much of what the beast is.
(2) *ibid.* 13:1. "Then I saw a beast emerge from the sea." The monstrosity of the beast the children speak of is suggestive of the Apocalyptic "seven heads and ten horns."
(3) *ibid.* 12:9. "The great dragon, the primeval serpent, known as the devil or Satan, who had deceived all the world, was hurled down to the earth..."
(4) Donald R. Spangler, "Simon," *William Golding's Lord of the Flies*, Casebook Edition, ed. James R. Baker and Arthur P. Ziegler, Jr. (New York, 1954), pp. 211-215.
(5) title of an article by Clare Rosenfield in the Casebook Edition.
(6) John Peter, "The Fables of William Golding," Casebook Edition, reprinted from *Kenyon Review*, 19 (Autumn, 1957), pp. 577-592.
(7) *Romans*, 5:21.

高 爾 亭

「蠅王」內的罪惡和救贖

CONCEPCION B. BANAAG

摘 要

蠅王敍述核子戰爭爆發時，一羣英國男孩被撤至安全地區。途中飛機失事，該羣男童遂流落在一風景優美之熱帶荒島上。初時他們相安無事，且能維持秩序。不久却淪於一種原始的獸性狀態。逐漸摒棄文明的約束。他們組成一個部落選舉酋長，塗上戰漆，樹立紋章，舉行祭祀。故事表面爲孩童之驚險遇歷，實則寓象徵於其內，影射兩種力量的抗衡對立。一爲理性與道德，一爲人心深處，頑强原始，罪惡之意欲。島上兩宗謀殺案相繼發生。孩童獵豬，亦演變爲獵人頭。故事正發展至其最恐怖處，作者却突然轉移焦點。一英國海軍軍官駕艦前往參戰，途經該島，救出正在進行獵人頭遊戲的孩童。

故事雖只敍及少數孩童之墮落，指意之深遠，却顯然易見。讀者所見者，實爲近世哲學、心理學思潮中之波瀾。作者自稱「欲蹤踪社會缺陷，上索至人性之缺陷。」故事指意所在，乃謂即令一政制無論外表如何理智、崇高，社會之安危，仍有繫於個人之先天良知。全書一以象徵出之，唯終章成人降臨，雖看尊嚴幹練，其實亦陷於罪惡中，與島上孩童無異。該軍官阻斷人頭狩獵後，準備載孩童遠離該島。而該艦却是同樣不肯罷休，欲前往獵殺敵人。但却有誰來拯救這些成人和這艘戰艦？

IMPLANTING

I will take it
and wrap a leaf around it
and around that a silken
furosiki —
and I will leave it under a tree
and let the winds blow upon it
and the rains too.
And with every wet wind
my heart will numb
with fear
and I will have to clutch the surroundings
of my life
in trust to know that it should be there.
And once
perhaps a day after
years have passed
when the furosiki is gone
and the leaf too —
there will be roots.

WINE BOWL

A heron standing on one leg
watches the opposite bank
where waits the fisherman
as the heron waits
in an immensity of space.
Drunken
the Zen-Master cracks the air
with a howl of laughter
his broad head but a stroke
on the wine bowl's edge.

Michele Caterina

THE MESSAGE OF THORNTON WILDER

Some Reflections on His Novel *The Eighth Day*

PETER VENNE, SVD.

In a small American town a man is accused of having killed his neighbor. He is condemned to death. On the way to the place of execution he is mysteriously rescued by a group of unknown friends, whereupon he escapes to South America where he lives the life of a fugitive. His family and the family of the victim have to live through hard times, but the children grow up into remarkable men and women.

Some years later the innocence of the supposed murderer is established, but he dies before he can rejoin his family. The son of the murdered man was the killer. The time is around 1905.

The novel was written in 1967, twenty years after the author's last novel, *The Ides of March.* The reader who is somewhat familiar with the earlier work of Th. Wilder will be wondering how far the old themes will recur in the new novel.

The general structure of *The Eighth Day* reminds us of *The Bridge of San Luis Rey.** An accident—the killing—sets the chain of events moving. The author, then, like the friar in *The Bridge,* starts out to reconstruct the lives of the two men and their families: first, by dealing with the events which followed immediately after the trial and escape of the supposed killer. Then he switches back in time, relating about the youth and marriage of the men and their wives; and finally, he gives some glimpses of the future fate of the children.

It is a story in slow motion. But as we read on, our interest is awakened, because people, who are worth knowing, rise before our eyes. In the center of the events is the Ashley family: father, mother, a son, and three daughters. They are ordinary middle class people.

* A list of Wilder's books is added in the bibliography.

A common strain runs through all of them: they are self-reliant, unhampered by convention or public opinion. They live their own lives, holding among them a great happiness, an unspoken devotion to one another, a mutual respect. They have one thing in common: they give themselves entirely to whatever task is set befo e them.

In the middle ot this peaceful life, suddenly a bomb explodes. During a shooting practice, Ashley's friend and neighbor, Mr. Lansing is killed, and all the evidence points to Mr. Ashley as the killer. During the trial and after the rescue of their father, the family has to pass through a dreadful ordeal. But now their natural resources stand them in good stead. The son, Roger, goes to Chicago to earn money to send home and makes his way through many hardships until, finally, he becomes a successful journalist and writer. One of the daughters ends up as a famous singer, while another one of the girls becomes a world-famous social reformer.

In the meantime, their father, the convicted murderer, works in the copper mines high in the Andes of Chile. He is not despairing, not even unhappy, because he always finds work that is meaningful and that absorbs his interest. He is always available when people need help. Like all the Ashleys, he has extraordinary reserves of strength. But after three years of a fugitive's life, he is drowned in an accident.

In the family of the killed man life has not been easier. They had been friends with the Ashleys for many years, and nobody had as yet found a reason for killing. The Lansing family is depicted in strong contrast to the Ashleys. Mr. Lansing is thoroughly different from Mr. Ashley. He is a domineering type, trying to cover his inner incompetence by bullying his wife and children. His son grows into hating his father, until the breaking point is reached, when he fires the deadly shot and flees. Nobody suspects him, but after three restless years his conscience forces him to write a confession.

This is the plot of the novel. If there are implausible things in it, it does not matter much, because it is the people who are important and who absorb the interest of the reader. The author is obviously fascinated with watching human beings. It is like walking

from portrait to portrait in a long gallery of remarkable characters. There is Miss Doubkov, a refugee from Czarist Russia, who has become wise through much suffering and to whom people confide their deepest worries. There is Mrs. Wickersham who runs orphanages and hospitals in the high Andes of Chile. She is a secular version of the old Abbess in *The Bridge of San Luis Rey*. Dr. MacKenzie, managing director of the copper mines in the Andes, spends his nights reading Homer and the Koran, and gives Ashley a masterly discourse on the gods of Greece. There is Dr. Gillies, the town physician, who thinks deep thoughts about the evolution of man and the wonders of life. Young Roger Ashley, while earning money in Chicago for his mother and sisters, is exposed to harrowing spectacles of human suffering. He meets people who open to him new vistas of life and leave deep imprints on his mind. A nihilist forces upon him the searing bitterness of his disillusionments. In the hospital where he works as an orderly, Roger meets a fellow worker who gives him a long lecture on Buddhist re-incarnation: a vision which, in the midst of the dying people, has a strange intensity.

There is the old gypsy woman with her deep insight into human suffering. There is Porky, the shoemaker, a man of few words but a resourceful and reliable friend; there is the old Archbishop of Chicago in whom Roger finds a congenial mind; there is the Italian music professor who interprets for Roger the mysterious relationships between art and religion. There is, finally, the old deacon of the Covenant Church who explains to Roger the hidden workings of Providence.

All these people, different though they are, have an outspoken sense of wondering at nature, its puzzles and mysteries. Through them, all the problems of human life are aired and analysed, with calm or bitterness, with faith or irony. The questioning of these people is not just academic, but harrowing to the depth of their souls. Some of them arrive at positive answers, while some end up in bitterness or resignation. Each of them comes close to the reader who follows the struggles and sufferings of each with hope and sympathy.

Throughout the novel, the author is present, like the Stage Director in *Our Town*, explaining, reflecting, offering to the readers answers and new questions. He is obviously a man of wide reading who roams through all sectors of learning, from evolution to religion, from art to education, from love and eros to death. The variety and individuality of his characters lend to all these discourses an impressive dramatic power.

* * * * *

What, then, are the questions which the author wants to discuss in this novel?

Thornton Wilder, in all his works, is preoccupied with two great themes: one is the amazing spectacle of the human race from the ice age to the present time; the other is the puzzling question: Is there an overall design or meaning in it?

The first theme is the main subject of the play, *The Skin of Our Teeth*, which is a play of truly cosmic dimensions. It is a modern *Everyman* Play. The Antrobus family represents mankind. (The name is an allusion to the Greek word anthropos=man). The parents are Adam and Eve, while their son Henry is Cain who killed his brother. The author is trying to condense the history and fate of the whole human race into four or five characters. Therefore, he moves freely through time, from the ice age to the present, by telescoping the different ages on the same time screen. Thus Mr. Antrobus is an office worker in New York, but at the same time he is the inventor of the wheel and the alphabet. A dinosaur appears on the stage together with a telegraph boy.

Mr. Antrobus reveals himself as a boisterous but kind father of a family. He is always planning to make this world a better place, and although he has moments of discouragement and despair, he always finds his way back to new hope and enterprise. He has a weakness for pretty women but normally his place is at the side of his wife. He knows the value of books, of learning and the arts and will not forgo them. He and Mrs. Antrobus have their moments of true greatness as well as of disgraceful weakness. We are not

at all inclined to say that they are heroic, but there is something in them that makes a strange and deep impression on us. Perhaps it is, what William Faulkner in his Nobel Prize speech has called the amazing ability of man to "endure and to prevail."

Mrs. Antrobus is the type of the motherly woman, plain and commonplace but selflessly devoted to her husband and children. She is the conservative and stable element in a changing world, the necessary complement to the conquering spirit of the male. But there is more in her. With her motherly instinct to protect all life that she bore, she defends also Henry, the "evil one", and takes care that he, too, finds a place in the boat which carries the Antrobuses through the flood catastrophe to a new beginning. Thus she is the custodian of the sacred fire of the hearth and of marriage, but at the same time she is also the foster mother of evil on earth.(1)

There is another woman besides Mrs. Antrobus: Sabina, the maid. Her name recalls the rape of the Sabine women. (Here as elsewhere the author presupposes quite a bit of learning on the part of the audience.) Sabina is the voice of common sense, the vox populi, a person of fresh vitality. For a while she was the second wife of Mr. Antrobus. She is physically attractive, ambitious and able to inspire Mr. Antrobus to great deeds. Thus she bears features of the Greek hetaira and of the maitresse in feudal European society. She has sisters also in oriental civilizations. The two women stand in sharp contrast throughout the play. Both of them have a certain hold over Mr. Antrobus but as a rule he belongs to his wife, and Sabina always finds herself back in the kitchen.

Henry, the son, is a problem child. Once, when they were playing, he killed his brother with a slingshot. He has a red scar on his forehead. We remember that Cain, in the Bible, killed his brother, Abel, and was marked by God as the first murderer. The red scar is taboo in the family; it must never be mentioned. We might say that Mr. Antrobus, who is mankind, feels that there is a stain on man, that there is in the human race something wicked and evil; in Christianity it is called "Original Sin." Henry with his slingshot is the symbol of it, and when Mr. Antrobus sees the red scar he has

fits of deep despair. So has Mrs. Antrobus when she discovers that her daughter has painted her face. She feels that this, too, is a sign of some evil inherent in human nature.

The idea of the whole play is that the history of mankind is a continuous struggle against disasters caused by nature and man and that we have escaped, time and again, only by "the skin of our teeth." The predominant feeling is that in the midst of life we are in the midst of death, a mood to which our generation of the atomic age has become very sensitive.

But in spite of his view that evils and catastrophes are an inevitable part of human experience, Wilder is not pessimistic about life. Mr. Antrobus always finds hope and light in his books, in the thoughts of the great philosophers and in the inspirations of the poets. Life always offers a new chance and a new promise. The play ends with the powerful opening of the Bible: "The earth was waste and void; and the Lord said, 'Let there be light', and there was light."

The play was written on the eve of World War II. When it was performed in the war-ravaged countries of Europe, it found a tremendous echo, for it dared to speak of hope in the midst of total destruction.

* * * * *

This vast conception of the human race underlies also the story of *The Eighth Day*. Before we meet the people, we are given a glimpse of the history of the valley through the geological ages. The Ashleys and the Lansings are shown as the product of countless combinations of hereditary strains, and from them the life stream spreads again in endless variations. All through the novel we are aware of world-wide perspectives of causes and effects.

On New Year's Eve, 1900, Dr. Gillies, the town doctor, analyses for the people the laws of evolution. "The creation has not come to an end. The Bible says that God created man on the sixth day and rested, but each of those days was many million years long... Man is not an end but a beginning. We are the beginning of the

second week. We are the children of the eighth day." (16) He continues to give a hopeful picture of the future. "After a while, maybe millions of years, a new kind of human being will be evolved. All we see now is just a stage that humanity is going through—possession and fear and cruelty. But one would have to live 10,000 years to notice any change. One must believe it." (276) Dr. Gillies who lost his only son a year before is a disillusioned man, who himself does not believe what he says. He speaks for the young among his listeners. "It is the duty of old men to lie to the young. Let these encounter their own disillusions."

Is this also Wilder's own answer? This qustion leads to the other central concern of the author: What is the meaning of it all?

* * * * *

In an earlier novel, *The Ides of March*, Caesar formulates the great questions which are the core of Wilder's books: "Man—what is that? What do we know of him? His gods, liberty, mind, love, destiny, death—what do these mean?" (5) Is man thrown into life by some blind fate? It he the end product of an evolution of millions of years? Is he part of a plan or providence? Is he able to discern a meaning in his life?

Already in one of Wilder's earliest novels, *The Bridge of San Luis Rey*, this theme is brought right to the fore. In July, 1714 a famous bridge in Peru broke and precipitated five people into the depth below. A Franciscan friar had watched the disaster and was deeply struck with the thought: why did this happen to those five? So he set out to reconstruct the lives of the victims in order to prove that God's providence had chosen the right moment to cut off the five lives.

The problem of the book is posed simply and distinctly at the opening of the novel: Are human beings to the gods like flies which a boy kills on a summer day, or is it rather as the Bible says—that no sparrow dies unknown to the will of God?

In the course of his investigations the Franciscan friar comes to realize that his endeavor 'to justify the ways of God to men' is

exposed to many fallacies, but he still sees in this accident "the wicked visited by destruction and the good called early to heaven." (219) This conclusion might be considered by some as orthodoxly Christian, but the author, perhaps in order to indicate that the issue is much more complicated, has the friar and his book burned as heretical and wicked.

The answer which the novel offers to the question of whether human life is ultimately meaningful or absurd is contained in the words of the old Abbess which conclude the book: "There is a land of the living and a land of the dead and the bridge is love, the only survival, the only meaning." The idea of love is the key to the understanding of the novel, and the lives of all the major characters are centered around some form of love or eros. The noblest form of love is embodied in the old Abbess who is a woman of great wisdom. To her all the people turn in their need and distress. She has learned in her long life that the signs of love can be found everywhere, even in apparently shallow and wicked and selfish people, and "that in love our very mistakes don't seem to be able to last long." (231) She feels that the ways of Providence are hidden from man, and that it is sufficient for Heaven that "for a while a disinterested love had flowered and faded." (224) "Soon we shall die," she meditates, "and all memory of the dead and of ourselves will be forgotten. But the love will have been enough; all those impulses of love return to the love that made them."

The Bridge of San Luis Rey was written in 1927. Twenty years later the author took up again the subject of divine providence in the novel, *The Ides of March*, which deals with the last days in the life of Julius Caesar.

In the center of this story stands the towering figure of Caesar. He is depicted as a man of an astounding versatility who, besides his worldwide administrative activities, has a genuine interest in philosophy, poetry, the linguistic changes of Latin and other learning. At the same time he is a diplomat who moves with perfect grace and authority among both friends and enemies. He sees through the flatteries and loyalties and limitations of those around him. He judges

the worth and worthlessness of his friends and enemies without cynicism, and even with positive benevolence. He appears indeed as a superior mind.

One is tempted to ask what the author intended by writing this book. Did he want to write an historical novel? Or a study of characters? Or did he wish, by this presentation of ancient Rome, to hold up a mirror to our times? All this may well have been in his mind. But his main interest was obviously in metaphysical problems. He created the superior personality of Caesar to be a mouthpiece for his own reflections about human life and to provide the milieu for a high level of discussion.

As a young man Caesar and his friend had decided that the gods do not exist, and that the soul dies with the body. They had vowed never to let any doubt enter their minds upon this matter. But now as a mature man he feels some hesitation. "Am I sure that there is no mind behind our existence and no mystery anywhere in the universe? I think I am." With what joy would he welcome such an absolute conviction! "How terrifying and glorious the role of man if, indeed, without guidance and without consolation he must create from his own vitals the meaning for his existence and write the rules whereby he lives." (29) But he is no longer sure that he is sure, for he feels that there are some experiences which seem to point to mysteries beyond this life.

One of these experiences is Julius Caesar's feeling that with all his planning and forming of the vast empire, he is only an instrument in the hands of some all-comprehensive "providence". This feeling which is sometimes very strong has made him humble. He also knows that the daggers of the conspirators may reach him at any hour, and thus the thought of death often occupies his mind. Not that he is afraid of it. He considers it a childish mistake to evade the contemplation of death, and he will have no part in the doctrine of the stoics that the "contemplation of death teaches us the vanity of human endeavor and the unsubstantiality of life's joys." (147) On the contrary: "only those who have grasped their non-being are capable of praising the sunlight." Yet he wonders what kind

of man will be chosen by destiny to be his murderer and successor. He will know this only during the last moments of his life, but it may be an answer to his question whether there is an "intelligence" ruling over the universe—and his death—or just blind chance.

In his hours of quiet reflection Caesar is inclined to believe at least in the possibility of some higher wisdom; but there are other voices who speak against it. It is part of the mystery of life "that we dare not say the last word about it, that it is good or bad, senseless or ordered" (186). His conclusion is that life has only that meaning which we may confer upon it. On the eve of his death he comes to realize that he does not love Rome because he is a Roman, but because he has formed the city and the empire, because he has given it a meaning. "We are not in relationship to anything until we have enwrapped it in a meaning, nor do we know with certainty what that meaning is until we have costingly labored to impress it upon the object." (187)

Caesar has seen and formulated the different aspects of the problem with a keen mind. He recognizes that we see only a few links in the endless chain of cause and effect and that much is left unknown. But "where there is an unknowable there is a promise." (192) Thus the author returns to the quotation from Goethe which he put at the opening of the book: "Das Schaudern ist der Menschheit bestes Teil" and the gloss: "Out of man's recognition in fear and awe that there is an Unknowable comes all that is best in the exploration of his mind, even though that recognition is often misled into superstition, enslavement and overconfidence."

* * * * *

Another twenty years later the author returns once more to the problem of a divine providence in the present novel, *The Eighth Day*. The spokesman for the author seems to be the old deacon of the Covenant Church. Roger Ashley learns from the old man that his people arranged the mysterious rescue of his father because they had known him as an honest man. The deacon shows him a rug with a complex mazelike design and asks him to turn it over. The

reverse side presents only a mass of knots and dangling ends. But Roger understands. "Your father fired a rifle", the deacon says, "a man near him fell dead, but your father did not kill that man. That is strange. Your father did not lift a finger to save himself but he was saved; that is strange. Your father had no friends, he says, but friends saved him. Your mother had no money, she was dazed. But a child who never held a dollar in her hand sustained a house. Is that not strange?—The sign of God's way is that it is strange." (430) And the consolation which the old deacon has to give the young man is: "There is no happiness equal to that of being aware that one has a part in a design". (431)

This is a key-word for the unders'anding of Wilder's work. It reminds us of the words of Emily in *Our Town* when she was allowed to revisit her home from the tomb: "Do any human beings ever realize life while they live it?" she asks the stage manager. He answers: "No—the saints and the poets, maybe, they do some." The saints who live 'sub specie aeternitatis' and see life in a more comprehensive way are able to know the worth of life more than other people do. So are the poets, who—as Caesar says—have the peculiar power to "gaze fixedly at the whole of life".

But many people are not able to accept that there is a design. How can a man believe in it when he sees so much suffering, poverty and injustice? The old consumptive gypsy woman tells Ashley: "When God loves a creature He wants the creature to know the highest happiness and the deepest misery; then he can die...there is no happiness save in understanding the whole." (135) But it is not given to man to understand the whole; therefore, man has to live on faith and hope. All the Ashleys are children of faith and hope. So is the Russian Miss Doubkov and the old Archbishop of Chicago. To believe that their life is part of an overall design, that is their strength and happiness. "There is no creation without faith and hope; and there is no faith and hope that does not express itself in creation". (107)

People like the Ashleys are the children of the eighth day, of the second week of the creation. At last, mankind begins to enter

the stage of maturity. Whether the Mind, the "latest-appearing manifestation of life" (10), will eventually overcome the animal nature of man, is uncertain; but Wilder seems to recognize in the growth of the individual the evolution of the entire species.(2)

In a concluding paragraph the author summarizes man's many possible attitudes toward Providence. "There is much talk of a design in the arras (tapestry). Some are certain to see it. Some see what they have been told to see. Some remember that they saw it once but have lost it. Some are strengthened by seeing a pattern wherein the oppressed and the exploited of the earth are gradually emerging from their bondage. Some find strength in the conviction that there is nothing to see". (435)

It is a meditative book, raising disturbing questions and offering no direct and simple answers. But it offers directions as to where to look for answers. The modern reader will appreciate that it leaves him his freedom, even skepticism, if he prefers it so.

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Wilder, although an American, stands in the midst of the European tradition, looking at the problems of the world with the eyes of the ancient philosophers, poets and statesmen. But he connects their questions and their knowledge of the world with Christian answers and hopes.(3) He does not identify himself with any Church or profession of faith. The basis of his work is the principle of the freedom and responsibility of man, which principle holds "the individual to be free to make his own moral choices without reference to church or state authority, but with full responsibility for them in accordance with such broad Christian moral precepts as love, humility, mercy and charity.(4)

What Wilder is affirming above everything else is "the dignity of man and the priceless value of life. Unlike most major writers of his time he has not pointed, therefore, to the meanness, pettiness and animalism of man." Like Caesar at the bedside of the dying Catullus he is never short of subjects to praise.(5)

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Thornton Wilder has clothed his thoughts in a language of amazing variety. The reader who turns from the simple talk of *Our Town* to the ornate style of *The Cabala* or the measured diction of *The Ides of March* may well ask himself whether all these books are by the same author. (About *The Ides of March* a German scholar, L. Curtius, said that one is tempted to re-translate it into Latin.) Wilder is a very conscientious stylist. His prose is like a mosaic of phrases, set side by side, with rare conjunctions in between. His sentences are often heavily freighted with meaning. They read like carefully polished aphorisms or maxims; which is especially true in *The Eighth Day*.

We have mentioned already the extensive scholarship of the author, which in the eyes of many readers seems to burden his books unduly. But as Brooks Atkinson says in his preface to *The Ides of March:* "Wilder wears his learning gaily"[6]. His fresh, fanciful and ironical note prevents scholarly heaviness.

Every reader of Wilder will notice the frequent recurrence of certain characters and motifs in different novels and plays. Thus captain Alvarado in *The Bridge* has his exact counterpart in *The Woman of Andros*, and this novel, too, has an event corresponding to Emily's returning to earth in *Our Town*. Some of the early one-act plays (1931) read like preparatory sketches for the longer plays *Our Town* and *The Skin*. The nihilist in *The Eighth Day* is a cousin of Mr. Burkin in *Heaven's My Destination*, while George Lansing, in some scenes, is a duplicate of George Antrobus.

All this as well as the many allusions to the Bible and the Classics are in tune with Wilder's basic conviction that "everything that happened might happen anywhere, and will happen again"[7]. In an interview with *Time* magazine[8] Wilder declared that he makes no claim to originality or profundity. "Literature," he said, "is the orchestration of platitudes". Wilder's orchestration has endowed the platitudes of life with a deeply touching human note.

NOTES

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(2) Spiel, Hilde: "Der Achte Schöpfungstag", in *Wort und Wahrheit*, Wien, August 1968;
(3) Grenzmann, W.: *Weltdichtung der Gegenwart*, Athenaum, Bonn 1955;
(4) Burbank, Rex: *Thornton Wilder*, Twayne Publ. New York 1961; p. 139;
(5) Burbank, Rex: ibidem, p. 143;
(6) Atkinson, Brooks: Introduction to *The Ides of March*, Harper, N. Y.
(7) Cowley, Malcolm: "The Man Who Abolished Time", in *Sat. Review*, Oct. 6, 1956;
(8) "Obliging Man", *Time* magazine, Jan. 12, 1953.

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小論懷爾德的小說第八日

PETER VENNE, SVD.

摘　　要

懷爾德是美國當代的小說家和劇作家。其作品顯示了二個主題；一爲人類由冰河期發展至今日的種種令人驚異的景象，另一爲使人感到困惑的問題——這發展期中是否有個意義存在？

他的戲劇九死一生就針對著第一個主題，而他的小說山路易斯雷橋，三月十五日及第八日則針對第二個主題。

懷爾德雖爲美國人，却深受歐洲傳統的影響。他以古哲學家，詩人及政治家的眼光去審視這世界上不可解之事。其著作的精神是基於自由的原則及個人的責任。他更强調人性的尊嚴和生命無可計數的價值。

TO BAUDELAIRE

You loved
The lurid glare
Of colored lights upon glowing flesh,
Bejewelled nudes and exquisite orgies,
Deliberate debasement, gross despair.
Out of these sordid elements
to construct a controlled ecstasy — there
was no common aspiration. Failure
became you; collapse with a flair.
Satan descends to a cardboard Hell
In a bright red electric glare.

May the marvelous clouds cover over
deceptions, delusions; and where
Your stream has flowed, there remains
Amid all the gutter stenches,
A fragrance upon the air.

John McLellan

FIVE POEMS BY CH. BAUDELAIRE

Translated by JOHN M. MCLELLAN

LA BEAUTÉ

Je suis belle, ô mortels! comme un rêve de pierre,
Et mon sein, où chacun s'est meurtri tour à tour,
Est fait pour inspirer au poète un amour
Éternel et muet ainsi que la matière.

Je trône dans l'azur comme un sphinx incompris;
J'unis un coeur de neige à la blancheur des cygnes;
Je hais le mouvement qui déplace les lignes,
Et jamais je ne pleure et jamais je ne ris.

Les poètes, devant mes grandes attitudes,
Que j'ai l'air d'emprunter aux plus fiers monuments,
Consumeront leurs jours en d'austères études;

Car j'ai, pour fasciner ces dociles amants,
De purs miroirs qui font toutes choses plus belles:
Mes yeux, mes larges yeux aux clartés éternelles!

BEAUTY

I am lovely, oh mortals, as a dream dreamt in stone
And my breast where men are bruised, each in his turn,
Kindles in the poet a love that may burn
Eternal and silent as matter alone.

An inscrutable sphinx, I am throned in the sky.
Heart of snow, swan's whiteness—both these are mine.
Movement I hate, which disturbs ideal line;
And I never laugh and I never cry.

Poets, inspired by my noble stance
(Which seems to be copied from proud monuments)
Will spend all their days in deep research, intense.

For, to put these charmed lovers deep in a trance,
I have pure mirrors where beauty shows more bright;
My eyes, my large eyes, filled with eternal light.

LE GOUFFRE

Pascal avait son gouffre, avec lui se mouvant.
—Hélas! tout est abîme,—action, désir, rêve,
Parole! et sur mon poil qui tout droit se relève
Maintes fois de la Peur je sens passer le vent.

En haut, en bas, partout, la profondeur, la grève,
Le silence, l'espace affreux et captivant...
Sur le fond de mes nuits Dieu de son doigt savant
Dessine un cauchemar multiforme et sans trêve.

J'ai peur du sommeil comme on a peur d'un grand trou,
Tout plein de vague horreur, menant on ne sait où;
Je ne vois qu'infini par toutes les fenêtres;

Et mon esprit, toujours du vertige hanté,
Jalouse du néant l'insensibilité.
—Ah! ne jamais sortir des Nombres et des Etres!

THE ABYSS

Pascal had his abyss—it followed where he'd go.
Alas!—all is but a deep pit—action, desire, dream,
Words—and through my hair, which stands on end it seems,
From the wind of fear I have felt the passing flow.

In the depths, in the desert, everywhere, high and low,
—A silence, a space, frightful although it gleams...
At the base of my nights, from God's knowing finger streams
A nightmare of many forms, relentless and slow.

Sleep, like a yawning well, bids me despair;
Full of vague horror, leading who knows where?
Through whatever glass I look, infinity seeing,

And my spirit, haunted by dizziness,
Envies the void its deep unconsciousness.
—Oh! Never to escape from Number and Being!

LE MORT JOYEUX

Dans une terre grasse et pleine d'escargots
Je veux creuser moi-même une fosse profonde,
Où je puisse à loisir étaler mes vieux os
Et dormir dans l'oubli comme un requin dans l'onde.

Je hais les testaments et je hais les tombeaux;
Plutôt que d'implorer une larme du monde,
Vivant, j'aimerais mieux inviter les corbeaux
À saigner tous les bouts de ma carcasse immonde.

Ô vers! noirs compagnons sans oreille et sans yeux,
Voyez venir à vous un mort libre et joyeux;
Philosophes viveurs, fils de la pourriture,

À travers ma ruine allez donc sans remords,
Et dites-moi s'il est encore quelque torture
Pour ce vieux corps sans âme et mort parmi les morts!

HAPPY IN DEATH

In a soil full of snails and empty of stones,
I want to dig a hole, deep as a cave,
Where I can lie and stretch out my old bones
And sleep without dreams like a shark in the wave.

I hate a last will, I hate a marked grave.
Rather than beg for men's tears or their moans,
While still alive, I would rather have
The crows peck blood from my filthy remains.

O worms, black companions who cannot hear or see,
Here comes a dead man, happy and free.
High-living philosophers, sons of decay,

Feed on my ruin without any dread,
And tell me if some other torture yet may
Remain for this soulless corpse, amid the dead, dead.

HARMONIE DU SOIR

Voici venir les temps où, vibrant sur sa tige
Chaque fleur s'évapore ainsi qu'un encensoir;
Les sons et les parfums tournent dans l'air du soir;
Valse mélancolique et langoureux vertige!

Chaque fleur s'évapore ainsi qu'un encensoir;
Le violon frémit comme un coeur qu'on afflige;
Valse mélancolique et langoureux vertige!
Le ciel est triste et beau comme un grand reposoir.

Le violon frémit comme un coeur qu'on afflige,
Un coeur tendre, qui hait le néant vaste et noir!
Le ciel est triste et beau comme un grand reposoir;
Le soleil s'est noyé dans son sang qui se fige.

Un coeur tendre qui hait le néant vaste et noir,
Du passé lumineux recueille tout vestige!
Le soleil s'est noyé dans son sang qui se fige...
Ton souvenir en moi luit comme un ostensoir.

EVENING HARMONY

Now comes the time when, trembling on its chain,
Each flower, like a censer, spreads a fragrance rare;
Sounds and perfumes spin in the evening air—
Melancholy waltz, languorous refrain.

Each flower, like a censer, spreads a fragrance rare;
The violin trembles like a heart in pain—
Melancholy waltz and languorous refrain!
The sky is sad and fair like an altar of prayer.

The violin trembles like a heart in pain,
A tender heart which hates the black emptiness there!
The sky is sad and fair like an altar of prayer;
The sun is blotted out in a thick bloodstain.

A tender heart which hates the black emptiness there,
From the bright past collects what fragments remain.
The sun is blotted out in a thick bloodstain.
Your memory glows in me, like a chalice raised in air.

RECUEILLEMENT

Sois sage, ô ma Douleur, et tiens-toi plus tranquille.
Tu réclamais le Soir, il descend, le voici:
Une atmosphere obscure enveloppe la ville,
Aux uns portant la paix, aux autres le souci.

Pendant que des mortels la multitude vile,
Sous le fouet du Plaisir, ce bourreau sans merci,
Va cueillir des remords dans la fête servile,
Ma Douleur, donne-moi la main; viens par ici,

Loin d'eux. Vois se pencher les défuntes Années
Sur les balcons du ciel, en robes surannées;
Surgir du fond des eaux le Regret souriant;

Le Soleil moribond s'endormir sous une arche,
Et, comme un long linceul trainant à l'Orient,
Entends ma chère, entends la douce Nuit qui marche.

RECOLLECTION

Have patience, my Sorrow, be calm and forbear.
You longed for evening. Now it is at hand.
A vague dimness covers all the land
Bringing peace to some—to others, care.

While the base throng of mortals everywhere,
Whipped on by Pleasure's pitiless command,
Go gathering regrets in a slave-like band
My Sorrow, let me take your hand, come over here,

Far from them. See! From heaven's balconies
Past years lean out outmoded draperies
From the depths of the fountains, Regret comes, smiling;

The perishing sun goes to sleep beneath an arch,
And like a long shroud, from the Orient trailing,
Listen, my love, listen to Night's sweet, oncoming march.

PETRONIUS AND APULEIUS IN THE SPANISH PICARESQUE NOVEL

ANGELO ARMENDARIZ

It is commonly recognized that the picaresque novel, as a particular literary form, has its origins in Spain where the greatest novels of this kind were written. There is hardly any other aspect of Spanish literature which has been more studied and debated. It would seem preposterous at this time and state of literary research to pretend to offer something completely new. Our interest will therefore be concentrated on areas of research that we have found lacking or incomplete.

The picaresque novel has as its protagonist a "picaro," a poor and ragged character, usually an errand boy who works briefly for different masters in an attempt to satisfy his most urgent needs for shelter and food. The "picaro" is not a criminal in the strict sense of the word, he steals to escape starvation or to better his social position but barely achieves the first and never succeeds in the second. The "picaro", as he goes from master to master in search of a living, takes revenge from the mistreatments and injustices done to him by exposing his master's crimes and criticizing his ways. Hence the picaresque novel is satirical in essence and realistic in its approach, keeping close to real life situations but emphasizing their incongruity with the moral values to which society seemingly adheres in principle.

Another most striking characteristic of the picaresque novel is its autobiographical form. The picaresque novel is not autobiographical because it offers a detailed account of the comings and goings, the acts of thievery and little tricks used by the rogue to deceive his fellowmen. We call it autobiographical because it narrates in the first person, because it uses the "I" form as a stylistic device.

It is interesting to note that the classical fictional writers of the Greek and Roman times did not use the "I" form in their writings. This stylistic device appears rather late in the history of literature,

and always in times of decadence, therefore Marcelino Menendez y Pelayo[1] says that its appearance is a sign of decadent literary craftsmanship.

In fact, there are very few works of literary value which use the "I" form in their narrative. Even in real autobiographies this form is avoided with the notable exception of St. Augustine's and a few others of less importance[2], which due to their character and content have no bearing on the development of the picaresque novel.

The oldest narratives in the autobiographical form are Petronius' *Satyricon*, Lucian's *De vera historia*, and Apuleius' *The Colden Ass.*

Lucian's *De vera historia*, though an autobiographical novel of great importance in European Literature, is not of the picaresque type, but could be classified as an autobiographical adventure and science fiction novel of a primitive type and, therefore, can hardly have any connection with our picaresque novel.

More important for our study, and often mentioned as possible sources of the Spanish picaresque novel[3], are the *Satyricon* and *The Golden Ass.*

THE SATYRICON AND THE SPANISH PICARESQUE

The *Satyricon* as we know it today, can hardly be but a badly mutilated torso of what the original novel must have been. It would be wasting time to try to find a logical connection between the remaining fragments[4]. What remains of Petronius' work can be considered as an episodic novel, a combination of prose and verse, in which among other things the adventures of three rogues are narrated. The binding and unifying elements are the autobiographical stories of these three young lads, who are later joined by an older and more lewd fellow, the poet Eumulpus.

The autobiographical narrative is by no means complete. The novel starts *in medias res*, and nothing is said about the origins and early years of the protagonists. Most of the action seems to have happened in Naples. Later, in order to get away from one of their friends with whom they have fought, they sail on a ship, suffer shipwreck, are rescued by some fishermen and go to Crotona in the

north (Cap. CXVII), where the rest of the action takes place. For the most part the *Satyricon* consists of the description of the unnatural love affairs of its protagonists. There are nevertheless many other stories, at times long but loosely connected, such as *De Coena Trimalchionis* (Cap. 27–78), the story of Eumulpus' loves Cap. 86–87), the discourse on the deceitfulness of women (Cap. 111–Cap. 112), where we find the well known story of the Matron of Ephesus. The *Satyricon* also contains some poems such as the ones on the Destruction of Troy (Cap. 89–90) and on the Civil War (Cap. 119–Cap. 125).

The most obvious characteristic of the *Satyricon*, as its title seems to suggest, is its satire. Petronius exposes in a concrete and realistic way the sexual aberrations of his times. But it is hard to guess what his actual aim was, since the exposition of the vices does not seem to have a moral purpose. For this reason the *Satyricon* has been classified as an immoral or pornographic novel(5). Petronius' criticism, if there is any, is directed not so much to the loose morals of his contemporaries but to the hypocrisy with which they try to cover their own vices, especially that of love of money.

After their shipwreck, Encolpius, Giton and the old poet Eumulpus find themselves without money, but since they know the minds of their fellow countrymen, the old Eumulpus suggests that they enter the unknown city of Crotona not as beggars, but as rich men who come from distant places in search of a place to live quietly and enjoy their hard won riches. The two young men appear as Eumulpus' slaves. Their job consists in spreading the news of their master's wealth which will soon be arriving by ship. The people of Crotona believe the story and, noticing Eumulpus' old age, shower him with gifts in the hope of receiving some inheritance after his death. The three friends are able to live comfortably for a while, but when the ships fail to arrive, Eumulpus is condemned to death as an impostor.

Petronius' criticism is especially harsh when it deals with the way justice is done. The execution of justice is dominated, like any other aspect of public life, by love of money. The protagonist exclaims at one point: "Quid faciant leges ubi sola pecunia regnat?" and "iudicium nihil est nisi publica merces."(6)

If the *Satyricon* is a pornographic and satirical novel, it also has all the other characteristics of a picaresque novel. Its protagonists, Encolpius, Asciltus, and Giton, have all the qualities of rogues. They belong to the lower strata of society; they are poor and ragged characters. Lacking a place to stay, they go from place to place stealing, deceiving people, and using their witty tricks in order to survive and to escape the forces of the law. But, while the "picaro" of the Spanish novel seems to deplore the unhappy situation in which he finds himself and just accepts his lot, the rogues of the *Satyricon* enjoy themselves immensely. Whenever they have to suffer some misfortune, they take it lightly as a small price to pay for the advantages of living without having to work for their daily livelihood. Not having the worries of the rich, they enjoy their advantages, not by reason of their generosity but because of the eccentricity of their lives and weird desires.

Even more important in determining the picaresque character of the *Satyricon* is its mood and the form of its narrative. Petronius is never serious, not even in the most tragic circumstances. As Albert Collignon says: "Pétron tourne bien vite au comique les situations les plus dramatiques en apparence. Ses tragédies ne sont que des pour rire".(7)

The *Satyricon's* autobiographical form also contributes to the novel's picaresque character, and especially its realism. The realism of the *Satyricon* is totally Roman in character, that is, concrete, direct and personified in its characters and situations. The realism of Petronius is vivid not only in his narration of the love affairs between the protagonists, but also in the description of the Roman cities with their dark, narrow winding streets (Cap. VIII), their poor and dirty market places, and their magnificent bath houses. Realism can be found in the main protagonists as much as in the secondary personages. It does not embellish nor deform, but it represents things as they are in themselves, not as they ought to be.

The Greek novel has also been suggested as a possible source for the Spanish novel, but it belongs to a completely different world. The Greek novel is idealistic and serious, while the Roman and

Spanish picaresque are realistic and burlesque. The Greek authors love to present exotic or unheard-of places and actions, while Petronius and the Spanish picaresque take pleasure in the minute description of everyday life. Therefore, it seems hardly possible to relate the Greek to the Spanish picaresque novel.

The suggestion that Petronius may have had some influence on the development of the Spanish picaresque seems obvious at first, since the *Satyricon* has all the characteristics of a picaresque novel. However, a study into the history of the extent to which Petronius was known through the Middle Ages to modern times will reveal that he could not have had any real influence in the development of the Spanish picaresque, because, as Menendez y Pelayo says, Petronius was not known until later.(8)

In fact, it is commonly recognized by the few who have studied the history of Petronius' manuscripts that his works, as we know them today, were known only since 1654, when the longest and most complete manuscript, the manuscript of Trau, was found.(9) This famous manuscript includes all the fragments of Petronius previously known and the hitherto unknown one of the *Coena Trimalchionis.* The year 1654 is therefore of capital importance for the history of the writings of Petronius even though the author was known earlier.

Petronius' first episode known to European Literature was that of the *Matron of Ephesus,*(10) which tells how a young matron at the premature death of her husband, while making a vigil on her husband's tomb, is accosted by a soldier who is guarding someone who had been crucified. She soon falls in love with the soldier. Meanwhile the body of the crucified has been stolen by his relatives and the young matron suggests substituting her husband in order to save the life of her new lover.

This story is found in the writings of John of Salisbury, 1120–1180;(11) Giovanni Sercambi, 1347–1475, brings it under the title, *De muliere volubili*(12) and it was also included in *Il Novellino.*(13)

Giovanni Boccaccio, 1313–1375, in his *Genealogia Deorum,* mentions Petronius, but there is otherwise no trace of this author in his

works.[14] In France, John Montruil, 1354–1418, is the only writer that shows some signs of Petronean influence.[15]

Up to the beginning of the fifteenth century, Petronius was virtually unknown. Then in 1423, Poggio Braccioloni discovered a manuscript of Petronius in England and brought it back to Italy.[16] From then on Petronius is known to some writers, and some even have citations from his work, but he never was a widely read author. This is due probably to the mutilated form in which the *Satyricon* has reached us and to its obscene character.[17]

In Spain Petronius was practically unknown. There is no known translation of any of the Petronius Manuscripts nor of any part of them. His name is not even mentioned by any of the early Spanish writers even after the discovery of the *Trau* manuscript. We can therefore assume that Petronius had no real influence on the development of the Spanish picaresque novel.

Nevertheless, since the first and only translation of Petronius into Spanish appeared in Argentine in 1905, Spain has produced the greatest literary work ever to be inspired by this writer. I am referring to the *Los intereses creados* of Jacinto Benavente which appeared in 1907, three years after the publication of *El Satyricon*, giving him ample time to write his now famous work.

Don Jacinto made use of the above mentioned episode of Crotona in the composition of *Los intereses creados*. While he may have also drawn from the characters of the Italian *commedia dell'arte* as he himself states in the prologue, it is also evident that the story was taken from Petronius.

APULEIUS AND THE REAPPEARANCE OF HIS WRITINGS

If the *Satyricon* came to us as a badly mutilated torso, *The Golden Ass* of Apuleius was preserved throughout the Middle Ages in its original form so that one can even now enjoy and admire its extraordinary beauty. While the history of Petronius' manuscripts is complicated and has been put together from quotations found in different writers and works, that of Apuleius is very simple. All the manuscripts of his works, *The Metamorphosis* or *Golden Ass*, *Apologia*

and *Florida*, go back to a single manuscript: manuscript 68.2 of Biblioteca Lauretana of Florence. This manuscript is written in Lombard characters and dates from the eleventh century. It is believed that it belonged to the monastery of Monte Cassino and that it was brought to Florence by Boccaccio.[18]

The first edition of Apuleius appeared in 1469, and already in 1513 the *Metamorphosis* or *Golden Ass* was translated into Spanish.[19] In the same century appeared the Italian translations of Mateo Boiardo and Agnolo Firenzuola in 1517 and 1548 respectively.[20]

THE GOLDEN ASS

The Golden Ass is also to be considered as an episodic novel, a heterogeneous composition in which all kinds of loosely connected stories and episodes may be added. The binding element is often very weak and sometimes almost nonexistent. Such episodes in *The Golden Ass* are the story of Socrates' incantation, the story of Captain Lamacus and the fable of *Amor and Psyche.*

This extremely beautiful narration brought Apuleius fame and was soon printed separately. In fact its relation to the rest of the work is negligible: A gang of thieves kidnapped a young and beautiful girl. While the thieves go to get the ransom money, the girl is left with an old lady who tells the fable.

The binding element for those loosely connected episodes is the presence of the protagonist and narrator who witnesses or listens to the stories. In *The Golden Ass* the autobiographical element is even of greater importance than in the *Satyricon.* The author gives the impression of faithfully narrating every day happenings in their logical succession. Apuleius however does not tell us exactly the time spent with each new master as we will find in *El Lazarillo,* but we can assume that the metamorphosis lasted for about a year.

The novel starts with a trip Lucius is making to Hypata. On the way there he joins the company of two other travellers. In Hypata, Lucius stays with an uncle whose wife is a sorceress. Lucius, who has great interest in such strange things, tries with the help of a maid to change himself into a bird. But in applying the wrong

salve by mistake, he becomes an ass. The same night some thieves break into the house and take him away, making it impossible for him to eat the roses that could restore him to his human appearance. From then on Lucius, the Ass, has an opportunity to record mens' most intimate moments and thoughts since they are unaware of the fact that they are being observed by a human, disguised in the form of a donkey.

With Lucius' metamorphosis the novel changes its characters and the fantastic element disappears. It no longer deals with incantations and witchcraft, but it turns into a novel of adventure and satire of the picaresque type. A new element hitherto unknown in narrative literature appears—the psychological element. We would look in vain for this aspect in the Greek novel, for as Erwin Rhode writes of Jamblichus:

> Der Dichter scheint förmlich bemüht, der Nötigung zur einer psychologischen Entwicklung innerlicher Kämpfe im eigentlichen Sinne zu entlaufen. Das liebende Paar erlebt offenbar nichts[21];

In the Greek novel, the adventures follow one another, leaving the protagonist completely at the mercy of Fate and unable to change the course of events. In Petronius, attempts are made to express jealousy, but one can hardly expect a detailed psychological development of his characters. In Apuleius, the study of emotions goes to considerable lengths. After seeing what the wrong ointment had done to him he says:

> And I did devise a good space with myself, whether it were best for me to kill this mischievous and wicked harlot by tearing her with my mouth and kicking her with my heels.
> But a better thought reduced me from so rash a purpose....Then dropping and shaking my head, and dissimulating my ire for the nonce, and bending to my adversity, I went into the stable to my own good horse.[21]

His own horse however received him with kicks and bites Feeling hurt and rejected, he goes to hide in a corner of the stable. In similar fashion Lucius expresses his joy, his anger and sorrow as practically all human sentiments are found in the Ass.

On one occasion, after he was taken by the thieves and anxious to disclose their crimes, we read:

> I determined with myself....to seek some remedy of the civil power, and by invocation of the awful name of the Emperor to be delivered from so many miseries. I thought to call the renowned name of the Emperor....I cried out cleverly and aloud, "O", but "Caesar" I could in no wise pronounce:

All he gets from his good intentions is a sound beating:

> but the thieves, little regarding my unmusical crying, did lay on and beat my wretched skin in such sort that after it was neither apt nor meet for leather nor sieves[23]

Lucius goes through a long and painful experience until he realizes that though having the mind and feelings of a human, he is just an ass. He is forced to do hard work, receiving nothing but beatings and a meager diet for his services. His constant hunger and his ingenious ways of stealing human food become recurring themes such as we find in the Spanish picaresque novel, especiall in *El Lazarillo.*

Because of its similarity with the Spanish picaresque novel, one must call attention also to the change of masters. Lucius like Lazaro serves different masters, and this gives him the opportunity to relate the ways of life and customs of the Roman society of his time.

Lucius serves first as beast of burden for a gang of thieves. He stays with them long enough to learn their customs, their adventures and cruelty[24]. Lucius is rescued from the thieves but soon finds himself grinding corn for an old woman. After he has laboured all day, she sets before him at night a little filthy bran, not clean but caked together and full of stones[25]. Then he is put to carry wood from a distant hill; the burdens laid upon him are so great that one would think they had rather been prepared for elephants than for an ass. Yet the boy who drives him is not content with making him miserable by loading him with a heavy burden of wood; whenever they come to a river on the way, he, to keep his boots dry, leaps upon the ass, adding to the load[26]. Not yet content, the hangman boy devises all kinds of punishments and torments for the defenseless

ass. Finally a great bear kills the boy, leaving Lucius in the hands of a new master.

> Listen what man he was. There was an old naughty man somewhat bald, with long and grey hair, one of the number of those of the lewdest dregs of the people which go from door to door throughout all the villages, bearing the image of the Syrian goddess, and playing with cymbals and bones, to get the alms of good and charitable folks.(27)

Lucius is especially displeased at working for the kind of people who take advantage of the good faith of others but who themselves do not believe; he shows their corrupt practices and morals, their avarice and the ways in which they deceive people. Later he serves a baker(28) under whom he observes the loose morals of women; a poor gardener(29); and an arrogant but cowardly soldier(30) who soon sells him to two brothers, one a baker and the other a cook(31). Lucius' luck starts to turn, and he has never had such good fortune. He says:

> "For when night came and the lord's supper was done....my masters would bring many good morsels into their chamber for themselves....(32)

Lucius, who was sharing the same place, filled his stomach with those delicious dishes, as he relates:

> Neither was I so much a fool, or so very an ass, as to leave the dainty meats and grind my teeth upon hard hay. In this sort I continued a great space in my artful thieving, for I played the honest ass, taking but a little of one dish and a little of another, whereby no man mistrusted me.(33)

The disappearance of food, however, could not pass unnoticed. The two brothers, not suspecting anything from the ass, search for the thief and soon begin to accuse one another. But finding that neither of them has done the stealing, they search together for the clever thief until they discover that the donkey is responsible for the disappearance of the food. Instead of getting angry at the loss of their meat, they laugh in amazement at the novelty. The master, recognizing the cleverness of the ass, buys him and trains him for the circus.(34) Finally, the ass escapes rather than serve as an object

of ridicule for the corrupt populace. Being freed and alone, he prays devoutly to the goddess Ceres who appears to him in a dream, and he promises to embrace her religion. The goddess orders Lucius to eat the roses that will be brought the next day by the people celebrating her feast. Lucius obeys faithfully and, as predicted, regains his human form. Later he is initiated in the mysteries of Isis(35), goes to Rome where he undergoes initiation in the mysteries of Osiris; takes yet a third order, and pleads causes in Rome, ending in this way a year .rich in experience and eventful in its continuously changing world.

The Golden Ass, as a novel, is a strange combination of fairy tales and real life stories blended together in such a way as to give the impression of being quite realistic even in its most unrealistic situations. In spite of all the talk of witchcraft, digressions and loosely connected stories, it has the realism and all the other characteristics of a picaresque novel. It not only is autobiographical in form but also narrates the life of a poor and ragged character, who is constantly obsessed with the problem of hunger and mistreated in spite of his good services. This is very much like the Spanish "picaro" of the Lazarillo type.

We would finally like to call attention to another aspect of Apuleius' work that, as in the Spanish writers, helps create the impression of realism: its language. Apuleius uses in his work, as Francisco Delicado, Fernando de Rojas and the anonymous author of *El Lazarillo* did later, not the literary style of the Latin classics but the language his characters speak in real life, in this case, the peculiar Latin that people used in Africa, the place where Apuleius was born and raised.

> Apuleius' Latin, writes F. A. Todd, is entirely his own: a Latin never written, much less spoken, by mortal man besides: a Latin compounded of the most heterogeneous elements, ancient and modern, literary and vulgar, all blended with such art that the inconceivable miracle is wrought and there emerges from the medley a style exotic, it is true, but harmonious and extraordinarily well adapted both to the needs of the romance and to the peculiar genius of the writer.(36)

This concise and summary-like study of Apuleius is at least sufficient to show that here is a work which, as far as style, content, and form are concerned, has great similarities with the Spanish picaresque and that, therefore, the speculation that the former may have had some influence on the development of the latter seems to be valid. We said also that Petronius' *Satyricon* has all the characteristics of a picaresque novel, but we denied that it could have influenced the picaresque because the *Satyricon* simply was not known early enough. When Petronius became known to humanist scholars, the picaresque novel was well established. With *The Golden Ass* of Apuleius, however, things look different. We have seen that it was published as early as 1469; in fact, it was one of the first works to be printed on the newly invented printing press. A Spanish translation existed from the beginning of the sixteenth century, so that even those, who because of the Latin used by Apuleius may have had difficulties in understanding the work, could read it in one of the translations that appeared in many of the European countries.

We shall now study the beginning of the Spanish picaresque novel to see if it shows any traces of Apuleius and, if so, where these appear.

APULEIUS IN THE FIRST PICARESQUE WRITERS.

Until recently, *El Lazarillo*, which was first printed in 1554, was considered the first truly picaresque novel, and the beginning of this new form of narrative was dated with its publication. However, there is more reason to believe that the Spanish picaresque novel should begin with the publication of *La lozana andaluza*, or at the beginning of the sixteenth century. The new interest shown in recent years for this work has brought to light the fact that it is so far the earliest novel in the picaresque form. Prior to this time there were writings, in Spain as well as in other European countries, of the picaresque type, portraying picaresque characters and displaying some picaresque characteristics. In fact, the list of these kind of writings is rather long and goes as far back as the Middle Ages.

It includes such works as the French, *Fabliaux*, the *Dance of Death*, the Italian novels and short stories, and the German collections of Sebastian Brant's *Narren-Schiff* (1494), Stricker's *Der Pfaffe Amis*, and *Till Eugenspiegel* (1483). In Spain itself, the picaresque novel had a long development and characters of the "picaro" type can be found in writings such as *El caballero Cifar*, *El corbacho*, *El libro de buen amor*, *La Celestina*, to mention just the most important ones.(37)

However, it is difficult to determine the exact nature of the influence that such works may have had on the development of the picaresque novel as such. One is rather inclined to believe that the authors of *La lozana andaluza* and *El Lazarillo* could have known the Spanish works just mentioned, but it is doubtful that they read the German or even the French works of similar character. It seems more logical to believe that narrations of the picaresque type had become well known literary topics and, as such, may have only indirectly influenced the Spanish picaresque authors. That these picaresque stories and characters were common in Europe is demonstrated by the fact that for almost all of them we find examples in earlier works.

The central figure, Lazaro, the guide of the blind, appears already in a *jeu* of the twelfth century, and in a picture of the same time, we find the theme of the guide drinking wine with the help of a straw(38). The episode of the indulgence dealer bears great resemblance to the priests of the Syrian goddess in Apuleius(39) and the story of Fra Geronimo in the fourth novel of Masucio's *Il Novellino*, where Fra Geronimo of Spoleto makes people believe that the bone he exhibits for veneration is a relic of Saint Luke. A secret accomplice contradicts him; Fra Geronimo asks God for a miracle through the intercession of Saint Luke. The accomplice then falls down dead but is brought back to life by the prayers of Fra Geronimo. This double miracle impresses people, and money flows in to Fra Geronimo's Collection basket. The proud but poor gentleman makes us think of the proud but cowardly soldier in *The Golden Ass*(40) and the Centurion of *La Celestina*. These parallels could probably be multiplied indefinitely. We see, therefore, that episodes similar to

those in the early picaresque novel are found in other European writings of the time. There is no single work that can be related directly to all or any of them, while Apuleius' name or stories similar to those in *The Golden Ass* can be found in most of the Spanish early picaresque.

We find the first reference to Apuleius in *La Celestina*, 1499. Calisto is nervously waiting for the result of Celestina's visit to Melibea. Calisto's servant, Sempronio, offers him a slice of *Diacitron*, a kind of preserve made of citron fruit. Calisto, too nervous to talk to anybody, eats it without saying a word and leaves the room. Sempronio then says;

> Alla yras con el diablo tu e malos anos, y en tal hora comieses el diacitron, como Apuleyo comio el veneno que le convirtio en asno(41).

On another occasion, as Celestina gets ready to overcome Melibea's reluctance, she performs some acts of magic which show some similarity to those in *The Golden Ass*.

> Abre el arca de los lizos, e hacia la mano derecha hallaras un papel escrito con sangre de morcielago de aquel ala de drago a que sacamos las unas....Entra en la camara de los unguentos, e en la pelleja de gato negro, donde te mande meter los ojos de la loba, le fallaras: e baxa la sangre de cabron, e unas poquitas de las barbas que tu le cortaste.(42)

Similar descriptions can be found in Apuleius, especially those of Pamphile's incantations.

> She gathered together all her accustomed substances for fumigations, she brought forth plates of metal carved with strange characters, she prepared the bones of birds with ill-omen, she made ready the members of dead men brought from their tombs....The blood which she had reserved of such as were slain, the skulls snatched away from the jaws and teeth of wild beasts.(43)

Fotis, Pamphile's maid, is ordered to bring some hair from a young Boeotian Pamphile has seen in a barbershop, but hindered by the barber who sees her, she brings instead a bundle of goat's hair which are turned later into three empty goat-skins. Later Fotis and Lucius watch Pamphile transform herself into a bird.

> First I saw how Pamphile put off all her garments, and took out of a certain coffer sundry kinds of boxes, of which she opened one and tempered the ointment there in with her fingers....(44)

The similarity of these passages is evident, for in both one finds almost the same elements. "Arca", coffer, boxes (arcula in Latin), where the objects are kept; "papel escrito con sangre de morcielago," plates of metal carved with strange characters (in those days there was no paper); bones of birds, "ala de dragon"; goat skin, "pelleja de gato"; reference is even made to the goat's hair, "barbas de cabron", in *La Celestina.* These similarities, however, do not prove beyond doubt that Fernando de Rojas, the author, had a first hand knowledge of Apuleius, for there are inaccuracies. The transformation of Lucius into an ass did not come about by eating something as it is suggested, but by applying the wrong ointment to his body. The similarities nevertheless show that Apuleius was known well in advance of the beginning of the picaresque novel, since the *Celestina* is not considered a novel of this kind, merely having some types and characteristics peculiar to it.

The first truly picaresque novel is *La lozana andaluza,* which appeared in Venice in 1528 as an anonymous work. Gayangos discovered that the author was Francisco Delicado, who, in 1534, published an edition of *Primaleon* and several other works in Venice.

La lozana andaluza is a novel in the form of a dialogue similar to *La Celestina,* and is in part autobiographical, the author being one of the characters, not the protagonist, as in all picaresque novels starting from *El Lazarillo. La lozana andaluza* tells the story of a beautiful and clever harlot, who, after being the mistress of a young and rich Italian merchant, is abandoned in Marseille. Then she goes to Rome where the action takes place.

The realism of *La lozana andaluza* is "un caso fulminante de naturalismo fotográfico", says Menedez y Pelayo(45). Francisco Delicado depicts Rome's corrupt and licentious morals as they existed at the beginning of the sixteenth century, especially those of the Spanish-Italian sector. This work should be regarded as an outstanding historical document rather than as a novel, for in it we havè a

vivid description of the life, morals and language of the lower classes of society that we do not find in any other document of the time. Even the method of composition seems to be that of a modern reporter, for the author goes to the people, talks with them and records their actions and even their words. The language of *La lozana andaluza* is therefore a strange mixture of all the romance languages spoken in Rome at that time. Basically, of course, Delicado uses his Andalucian brand of Spanish because he and his protagonist come from this part of Spain, but there are also dialogues in Catalonian, Portuguese and Italian.

Menendez y Pelayo, even though he calls Delicado's language a *jeringonza italo-hispana*, is forced to admit that its incorrect language makes it interesting.(46) It is not difficult to imagine the impression that Delicado's language made upon the classical taste of Menendez y Pelayo, and when he says that Delicado's "language is full of *barbarismos, solecismos y giros nunca oidos en Espana*," we know he is not being just, because he criticizes it from a point of view foreign to the artistic aim of the book. Delicado's goal is to reproduce the peculiar language of his characters together with the surroundings and atmosphere in which they live.

The author, seeing the novelty of his style, feels compelled to defend himself.

> Si quisieren aprender porque no van muchas palabras en perfecta lengua castellana, digo que siendo andaluz, y no letrado, y escribiendo para dar solacio y pasar mi fortuna, que en este tiempo el Senor me habia dado, conforme ha mi hablar al sonido de las orejas, que ha la lengua materna y el comun hablar de las mujeres. Y si dicen que pose algunas palabras en italiano, lo pude hacer escribiendo en Italia, pues Tulio escribio en latin, y dixo muchos vocablos griegos y con letras griegas. Si me dizen que porque no fue mas elegante, digo que soy ynorante y no bachiller.(47)

It is, of course, clear that Tulius could not have been his model. Rather, it was another writer, who due to his own temperament and style, is much closer to our author, Apuleius. In fact, Delicado, though mentioning some other classical writers in his work, makes no indication that he knew them well. But he mentions Apuleius

several times and refers to *The Golden Ass*, showing that he knew it well. Although he does not imitate or follow it, he learns from Apuleius the value of language as means of characterization. Finding in him a respected model among the Latin writers, one not afraid of departing from the literary style used by other classical authors in order to be closer to the spoken language of his characters, Delicado feels more at ease departing from what he had been taught as a student of the humanist Nebrija.

La lozana andaluza, though remaining almost unknown, is of great value in clarifying some aspects of Spanish literary history, one of them being that of the relationship between the Latin and Spanish picaresque. In it we not only have a proof of the influence Apuleius had on the origin of this form of narrative, but also the earliest reference to picaresque characters of later works such as Pedro de Urdemalas and Lazaro.

THE GOLDEN ASS AND *EL LAZARILLO*

In 1554 a work was published that definitively established the picaresque form and made the autobiography one of its main characteristics. The title of this work is *Vida del Lazarillo de Tormes y de sus fortunas y adversidades. El Lazarillo*, as it is commonly called, was an instant success. Within a year three editions were printed, those of Burgos, Alcala and Antwerp.(48)

El Lazarillo can be classified as an episodic and autobiographical novel. The autobiographical element is quite detailed at first, but it becomes sketchy as the novel progresses. In the first three chapters, those of the blindman, the miser and the squire, there is a meticulous description of the smallest details. In the first two episodes Lazaro is the center of attraction, while in the third the actions of the squire are as important as those of Lazaro. It is here for the first time that master and servant are treated as equals; there is dialogue between them and the servant even feeds his master. Lazaro has reached the lowest point of is life from which he can only go upward. In fact, this is what happens in the novel. With the new master, a

monk of the Order of Mercy, Lazaro spends only eight days, time enough to wear out the first pair of shoes he has received in his life. Lazaro's physical suffering is over; economically and socially he will improve constantly. This change in Lazaro's fortune has its repercussions in the biographical style of the novel. From protagonist and actor, he becomes spectator and critic.

The fifth master is a dealer of indulgences. Lazaro stays with him almost four months, but we know nothing of what he does. He only watches and reports the ways in which people are being deceived in the name of religion. Lazaro's sufferings are now spiritual, not physical.

The next master, a chaplain, gives Lazaro a donkey, a whip and four water containers to carry water in the city for thirty *maravedis* a day, except Saturdays. Although Lazaro spends four years with the chaplain, it takes him only a few lines to narrate the experience. He is able to save some money to buy better clothes and a sword. Seeing himself dressed in the attire of the better people, he leaves his job to climb higher on the social ladder, becoming a law enforcement officer, and later taking a job as the town's common crier with the paradoxical duty of accompanying those who suffer persecution for justice's sake while at the same time proclaiming their crimes.(49)

The language of *El Lazarillo* is similar to that of *The Golden Ass* and of *La lozana andaluza* in so far as it remains close to the spoken language of the characters. The language of *El Lazarillo*, however, is more studied and carefully chosen for its aesthetic value than it may seem at first, since it is full of rhymes, alliterations, paranomasias and other literary elements not common to prose. The author of *El Lazarillo*, like Apuleius, was able to combine all the means at his disposal, literary as well as popular, to create his own style—popular and literary at the same time.

The *El Lazarillo* does not have any reference to Apuleius. This, however, does not mean that he did not know this work, for we find in *El Lazarillo* such similarities with *The Golden Ass* as to suggest not only knowledge of the work but direct imitation of the Latin novel.

Both *El Lazarillo* and *The Golden Ass* narrate in the first person the life of a young man who successively serves different masters, observes their actions, criticizes their ways and creates a picture of the conditions of the society of their times. Lucius works for the priest of the Syrian goddess, exposing the latter's vices and corrupt practices; Lazaro does the same for some religious and catholic priests. Lucius carries wood for a young man and pots and pans for the two brothers; Lazaro carries water for the sixth master. Lucius is taken by a proud but cowardly soldier; Lazaro feeds the poor but proud squire. Lucius ends his trials and sufferings by recovering his human appearance, and with it, his respectability in society; Lazaro also finishes by becoming master of his own life.

Furthermore, there are themes that appear in both novels that show similarities in their development. In both novels there is a period of adaptation to the new life. When Lazaro, at the age of ten, becomes a guide of the blind, he is told that by applying his ear to a great stone bull on the bridge he can hear a great noise. But as he tries this, he is pushed mercilessly, his head hitting the stone while the blindman says.

> Necio, aprende que el mozo del ciego un punto ha de saber más que el diablo.
> Rió mucho la burla—comenta el niño—. Parecióme en aquel instante desperté de la simpleza en que, como niño dormido, estaba.(50)

Lazaro will never be the same. His candour disappears with *el dolor de la cornada.* In a few days Lazaro learns the "course of life." Lucius undergoes a similar period of adaptation, both to his new appearance and to the heavy work he has to perform as an ass. His period of adaptation is, as in Lazaro's case, very short; it is over before he leaves his first masters, the band of thieves.

Another theme similarly treated in both novels is that of hunger. The motivation for Lazaro's actions in the first three chapters is hunger, which becomes progressively worse as the boy changes masters. With the blindman, Lazaro at least can satisfy his appetite; with the second, the miser priest, Lazaro, although able to get the key to the coffer where the miser keeps his food provisions, he can

only scratch a few crumbs from each piece of bread so as not to be noticed. He says:

> Comienzo a desmigajar el pan sobre unos no muy costosos manteles que allí estaban, y tomo uno y dejo otro, de manera que en cada cual de tres o cuatro desmigajé su poco. Después como quien toma gragea. lo comí y algo me consolé.(51)

Lucius also uses similar means in order not to be noticed by the two brothers, the cook and the baker.

> In this sort I continued a great space in my artful thieving, for I played the honest ass, taking but a little of one dish and a little of another, whereby no man mistrusted me.

The brothers, upon discovering the loss of food, rejoice in the cleverness of the ass, while Lazaro is cruelly beaten and left so weak for hunger that he can hardly stand on his feet.(53) In the third chapter, as a servant of the proud gentleman, Lazaro and his master would have died of hunger, were it not for Lazaro's diligence. This chapter, which is also of importance in other aspects, represents the culmination of the treatment of the hunger theme.(54)

The hunger theme, however different in treatment and motivation, is also of great importance in Apuleius. Lucius problem is not so much lack of food but the unwillingness to renounce human nourishment. On one occasion, even though he has plenty of grass, he leaps into a garden to fill his "hungry guts" with the "raw and green salads" that he is used to eating as a human. As Lazaro is beaten unconcious by the miser priest, Lucius is scourged almost to death by his tormentors. On another occasion the old woman who takes care of him gives him fresh barley in plenty, but he who "was accustomed to eat flour finely milled and long cooked with broth, thought that but a sour kind of meat," and "espying a corner where lay the loaves of bread left by the band'" says Lucius, "I got me thither and used upon them my jaws which ached with long famine."(55) For the first time he can enjoy a full meal undisturbed. Lucius' troubles are not yet over; he will continue to hunger until he enters the service of the two brothers.

A third theme that runs parallel in both novels is that of suffering.

Lucius and Lazaro live first under the constant fear of cruel and inhuman physical punishment; later their suffering is spiritual. Lucius' spiritual suffering comes from the fact that he has to witness the corrupt practices and morals of the priest of the Syrian Goddess, and the deceptions and degradations of some women, and because he is made a source of ridicule in the circus; Lazaro's suffering comes from watching the free life of the religious from the Order of Mercy, the deceptions of the dealer of indulgences, and from the talk of those loose tongues that say, "no sé qué y sí sé que, de que ven a mi mujer irle a hacer la cama y guisarle de comer" to the "arcipreste" of San Salvador.(56) Structurally as well as in the treatment of the themes of hunger and of suffering, both novels are similar. In both novels we find a gradual worsening of the situation up to a certain point, the episode of the two brothers in *The Golden Ass*, and that of the proud gentleman in *El Lazarillo*. Thereafter hunger is not a problem any longer; suffering, though present, is of a different nature, becoming spiritual rather than physical. These two episodes mark the turning point in the fortunes of the two protagonists, both of whom in the end achieve respectability—Lucius pleading causes in Rome, Lazaro as a law enforcement officer.

This study of the influences of Latin novels on the development of the Spanish picaresque, though not pretending to be exhaustive, shows clearly two things. First that the *Satyricon*, though being a picaresque novel in content and style, had no part in the origin of the Spanish picaresque novel because it was not sufficiently known at that time.

Secondly, the case of *The Golden Ass* of Apuleius is different. Its *editio princeps* dates from 1469, well in advance of *La Celestina* (1499), where we found the first reference to Apuleius in fictional writings. Apuleius was also well known to the first picaresque author, Francisco Delicado, who seems to have learned from him the importance of language as means of style and characterization. The second picaresque novel, *El Lazarillo*, has no direct reference to Apuleius. But similarities in style, content, structure, and form are such as to warrant the assumption that its anonymous author not

only knew but imitated this Latin writer. This also seems to have been the impression *El Lazarillo* made on its contemporaries, for in the first continuation of *El Lazarillo*, Lazaro is transformed into a tuna fish as Lucius was transformed into an ass. But while the original *El Lazarillo* understood the real purpose of this transformation, which is to give the author the opportunity to record man's intimate thoughts and actions, the first continuation of El Lazarillo imitates *The Golden Ass* of Apuleius in one of its most doubtful aspects—that of the metamorphosis—leaving unexploited the advantages that Apuleius gains with such a device. The original *El Lazarillo* wisely avoids the problems of credibility that such a transformation of a man into a beast inevitably brings to any reader, but imitates the good points. The changing of masters, for instance, gives the writer a good opportunity to observe, report and criticize people of different walks of life. The climactic treatment of the themes of hunger and suffering is similarly presented and well exploited in both novels. Structurally, both novels develop in similar fashion. In both novels there is a worsening of life conditions up to a point. Thereafter, life improves constantly, but this improvement brings about a moral decline which produces an increase in the spiritual suffering of the protagonists. These are, in short, the reasons that make us believe that *El Lazarillo* is closely related to *The Golden Ass* of Apuleius.

NOTES

(1) M. Menéndez y Pelayo, *Orígenes de la novela*, vol. I. Madrid, 1946, p. 11.
(2) Confer G. Misch, *A history of Autobiography*. Cambridge 1915. P. Lehmann "Autobiographies of the Middle Ages", in *Translation of the Royal Historical Society*, Fifth Series, III, 1953.
(3) I. D. Ford, *Possible Foreign Sources of the Spanish Novel of Roguery*. Kittrege Vol., 1913.
(4) Albert Collignon, *Etude sur Pêtron*. Paris, 1892, p. 3.
(5) B. E. Perry, "Petronius and the Comic Romance", CPh (1924-1925), p. 35.
(6) F. Bücheler, *Saturae*. Berolini, 1922, p. 10.
(7) A. Collignon, *Etude sur Pêtron*. Paris, 1892, p. 45.
(8) Marcelino Menéndez y Pelayo, *Orígenes de la novela*. vol. I. Madrid, 1946, p. 25.
(9) A. Collignon, *Pêtron en France*. Paris, 1903, p. 34.

(10) F. Bücheler, *Petronii Saturae*, Ed. VI. Berolini, 1922, p. 80.
(11) A. Collignon, op. cit., p. 10.
(12) A. Rini, *Petronius in Italy*. New York, 1937, p. 7.
(13) *Il Novellino* is an Italian Collection of fifty short stories from the XV century.
(14) A. Rini, op. cit., p. 9.
(15) Joannis de Monterolio "Epistulae Selectae", *Vetcrorum Scriptorum et monumentorum....amplissima collectio*. Paris, 1724, vol. II. col. 1138, epistula XIV.
(16) E. T. Sage "Petronius, Poggio and John of Salisbury", CLPh, XI (1916), p. 11.
(17) The council of Trent, in view of *Petronius' Excellence in Style*, permitted it to be read, but with due precaution. Conf. *sanctorum conciliorum nova et amplissima collectio*, 33, 230, Paris, 1902.
(18) E. Hazelton Haight, *Apuleius and his influence*. New York, 1927, p. 91.
(19) M. Menéndez y Belayo, *Biografía Clásica*. Conf. Apuleyo. The date of this translation is not completely certain; it is assumed that it was done in 1513.
(20) E. Cocchia, *Romanzo e realta nella vita e nell' attivita leteraria di Lucio Apuleyo*. Catania, 1915, p. 2.
(21) Erwin Rhode, *Der griechische Roman und seine Vorläufer*. Leipzig, 1900, p. 404. "The author seems to make an effort to avoid the necessity to express the psychological development of internal problems. The lovers apparently experience nothing."
(22) Apuleius, *The Golden Ass*. Cambridge, 1965, p. 137.
(23) Apuleius, opus cit., p. 143.
(24) Apuleius, opus cit., pp. 145-179.
(25) Apuleius, opus cit., p. 324.
(26) Apuleius, opus cit., p. 327.
(27) Apuleius, opus cit., p. 385.
(28) Apuleius, opus cit., p. 417.
(29) Apuleius, opus cit., p. 449.
(30) Apuleius, opus cit., p. 463.
(31) Apuleius, opus cit., p. 495.
(32) Apuleius, opus cit., p. 497.
(33) Apuleius, opus cit., p. 497.
(34) Apuleius, opus cit., p. 503.
(35) Apuleius, opus cit., p. 579.
(36) F. A. Todd, *Some Ancient Novels*. London, 1940, p. 108.
(37) Angel Valbuena y Prat, *La novela picaresca española*. Ed. Aguilar. Madrid, 1962, pp. 13 ff. Conf. also M. Bataillon, *La vie de Lazarillo*. Paris, 1958. Introduction.
(38) Erik V. Kraemer, "Le type du faux mediant dans le littératures romaines depuis le moyan âge jusqu' au XVII siècle", *Commentationes Humanarum Litterarum* XII, 1944. pp. 48-49.
(39) Apuleius opus cit., p. 385.
(40) Apuleius opus cit., p. 463.

(41) The citations of *La Celestina* refer to Foulche-Delbosc' Edition. Barcelona, 1902.
(42) *La Celestina.* Foulche-Delbosc, p. 44.
(43) Opus cit., p. 127.
(44) Opus cit., p. 131.
(45) M. Menéndez y Pelayo, *Orígenes de la novela.* vol. IV. p. 54.
(46) Ménéndez y Pelayo. Opus cit., vol. IV. p. 61.
(47) Francisco Delicado, *La lozana andaluza.* Ed. Antonio Vilanova, p. 267.
(48) For a detailed bibliographical study, conf. Morel-Fatio, Recherches sur "Lazarillo de Tormes" in *Etudes sur L'Espagne.* Paris, 1888, pp. 115-176.
(49) Valbuena y Prat, *Novela picaresca.* p. 110.
(50) A. Valbuena y Prat, opus cit., p. 86.
(51) Ibidem, p. 93.
(52) Apuleius, p. 479.
(53) A. Valbuena y Prat, opus cit., p. 91.
(54) Conf. F. Courtney Starr, "Unity in the Lazarillo", PMLA, XLII, 1927, p. 404.
(55) Apuleius, p. 177.
(56) A. Valbuena y Prat, *Novela picaresca.* p. 110.

拉丁作家：Petronius, Apuleius 和西班牙浪子小說開始之間的關係

ANGELO ARMENDARIZ

摘　　要

有幾位作家述及拉丁作家是西班牙浪子小說之先祖，對於此類西班牙小說的發展，提供各方面的影響，可是他們並未證出他們彼此間的影響處，假如西班牙小說仿照拉丁小說。果眞模仿，"有多少？""在那些方面？"在這篇文章我們研讀拉丁小說中，關於浪子小說的特徵。這些特徵也在西班牙小說中出現，並指出他們相同之處。我們亦研讀"什麼時候"這些作家再度成名於歐洲文學。如此我們知道 Petronius 不能被認識對西班牙文學有任何影響，因爲他的作品 *Satyricon* 在歐洲尤其是西班牙幾乎是默默無名，一直到浪子小說以後。然而，關於 Apuleius 的情形是不一樣的。Apuleius 的作品"金毛驢"第一版於 1469 年問世。第一部西班牙文翻譯完成於 1513 年。此時最早的浪子小說於 1528 年問世。Petronius 未曾被西班牙任何小說提及。是時，Apuleius 名字已出現於西班牙小說 *La Ceestina*，1499。在第一部浪子小說 *La Lozana Andaluza* 亦曾被提及。*El Lazarillo* 被認爲定眞正的西班牙浪子小說，雖然他沒有提及 Apuleius 的名字，也未曾說及和此兩部小說是相似的，但他們所述及的故事均爲關於年青孩子，他們替許多不同身份階級的人做事，其間經歷過許多慘酷之教訓，饑餓，貧乏的人生，都以相同的方法出現於此兩部小說：

第一次 *Lazarillo* 的綴編更改變 Lázaro 成一條鮪魚就像 Apuleius 的作品"金毛驢"中的主角，Lucius 變成一隻驢，所以我們可以說"金毛驢"並不只是出名於 Lázarillo 的作者，甚至於把它當成一種作品的模型。

VAE SOLI
Joseph Conrad's Predilection for Isolated Characters

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The literary product of a time is, like its philosophy, an expression or an echo of a given mentality. The one as well as the other mirrors the problems man is confronted with, and both reflect more or less distinctly his attitudes towards them. Correlation between the two must, therefore, be traceable and is actually found in the elucidatory function of philosophy. Hence it is the philosophy of the nineteenth and the twentieth century that furnishes the explanation to the following statement: "The theme, the problem, the fact of isolation haunted the most sensitive minds of Melville's century, from Coleridge to Arnold, and from Emerson to Emily Dickinson, and it still hovers above the twentieth century, a restless and unlaid ghost."(1)

The psychological history of man shows that its essence has always been man's struggle to realize himself, to comprehend and finally to accept his own Ego. No age, however, witnessed so much urge towards and success in self-realization as did the nineteenth and the twentieth century. Mankind gained new notions of consciousness which tended toward the isolation of the individual, and the diminution of public values. A schismatic and disintegrated yet expanded view of self was the achievement of this modern want. And as every cause aims at its effect, this increasing self-awareness became the virtue of therapeutic self-knowledge, a new science founded by Sigmund Freud.

The same one hundred and fifty years which steadily imprisoned the individual in his unique "stream of consciousness"(2) were a time of industrialization throughout the western world. Man experienced an unrivaled boom in technology and natural sciences. Because of it, his world became functionalized, his appreciation of values res-

tricted to the sphere of material interests, and technics became the backbone of his existence. The ultimate inefficiency of this modern god as a whole, however, was as discernible to man as its partial triumphs. This was the reason why the growing self-awareness developed into a concept of aloneness, the cognate of individualism. It is man caught in this intrinsic feeling of loneliness to whom the biblical "vae soli" has to be applied. His experience of insecurity in a non-personal world becomes the prelude to despair.

Kierkegaard, the Danish philosopher (1813–1855), was the first to interpret this phenomenon. He was himself "caught in the web of tragic circumstance,"(3) and as his constitution was a sensitive one supplemented by inherited melancholy, he was a lonely, cut-off individual all his lifetime. His personal experience coupled with remarkable intellectual abilities made him father of the philosophy of existence. Kierkegaard's ideas were taken up by French and German philosophers who differ in their result, but all of whom had the general experience of insecurity as the starting point for their discussions.

Gabriel Marcel, the Christian representative among them, names despair, suicide, and betrayal as the most manifest expressions of the will to deny the existence of a supreme being and with it simply all being: "It would surely be well if there were being, but there is no being, and I, who observe this fact, am therefore nothing."(4) For the purpose of this study it will be useful to mention that this pessimistic attitude resulting in the consideration of all existence as essentially absurd is traceable in French poetry from Alfred Vigny to Mme. Ackermann,(15) and that Joseph Conrad's father was the translator of the former.

Man's technics are unable to save man himself. And after having denied being, there is no prospect left towards which he could direct hope. His *hybris* possesses no saving capacity, his despair is, therefore, unavoidable. Suicide goes hand in hand with it. Nothing is liable to check this "victim of some cosmic catastrophe" who, according to Heidegger and Sartre, is flung into an alien universe to which he is bound by nothing.(6)

The third manifestation of the denial of being, betrayal, is based on the fact that there is nothing within or before man to which he can be faithful. Faithfulness implies recognition of an ontologic permanence, belief in a presence that can be maintained or can equally be ignored and forgotten. For the atheistic existentialist such a presence does not exist and this explains the menace of betrayal which hovers over the present age.

In Joseph Conrad's novels the themes of aloneness and isolation are dominating and full understanding of them is possible only when we take into account the ideological background of the time. Is Joseph Conrad a "philosophical novelist" as Robert Penn Warren calls him? In a letter to Cunnighame Graham, Conrad expressed his horror of a universe which to him was a machine that had evolved itself out of a chaos of scraps of iron. "It has knitted time, space, pain, death, corruption, despair, and all the illusions,—and nothing matters."(7) And in another letter to the same addressee he wrote:

> The attitude of cold unconcern is the only reasonable one. Of course reason is hateful,—but why? Because it demonstrates (to those who have the courage) that we, living, are out of life,—utterly out of it. The mysteries of a universe made of drops of fire and clods of mud do not concern us in the least. The fate of a humanity condemned ultimately to perish from cold is not worth troubling about. If you take it to heart it becomes an unendurable tragedy.(8)

This passage suffices to make us aware of Joseph Conrad's ineluctable sense of being ontologically adrift. To do him full justice, it has to be admitted that this sense certainly was not constantly present in the conscious region of his mind. One must assume that it was more dominating at times when his health failed him and when his financial worries became more urgent. Furthermore, the writer was not consistent in the choice of terms he applied to that latent feeling. He was no philosopher, but he was deeply imbued with philosophic ideas. In a letter to Bertrand Russel he writes:

> I have never been able to find in any man's book or any man's talk anything convincing enough to stand up for a moment against the deep-seated sense of fatality governing this man-inhabited world.(9)

Conrad's cosmos is beautiful, but cold and immensely indifferent. In this purely spectacular world, mankind struggles until it is defeated by the irremediable absurdity of life. Charles A. Brady, one of the writer's numerous reviewers, attempted an explanation of Conrad's preoccupation with the problem of moral isolation by seeing in it a consequence of his Catholic upbringing. Brady prefers to call it "piercing awareness of fallen man as a spiritual exile."(10) He touches on a doubtlessly critical topic. For the tension between Conrad's Catholic educational background and the almost simultaneous skeptic influence of his father caused one of the conspicuous contradictions in his personality. But to regard the whole of Conrad's literature as constructed on a religious basis which could be called Catholic mysticism, seems to be rather risky as the author's private life does not offer any confirmation of this theory.

For the purpose of this study it is important to ask how much of the author's philosophy has found its way into his literature. The most reliable answer is offered by Joseph Conrad himself when he admits that "even the most artful of writers will give himself (and his morality) away in about every third sentence";(11) and his ideas about man's existence are unambiguously summed up in the words he speaks through Mr. Marlow in the beginning of *Youth:*

> There are those voyages that seem ordered for the illustration of life, that might stand for a symbol of existence. You fight, work, sweat, nearly kill yourself, sometimes do kill yourself, trying to accomplish something—and you can't.(12)

All the tendencies and ideas of existentialism as voiced dy Jean Paul Sartre and traced by Gabriel Marcel are displayed in Conrad's novels.

Axel Heyst in *Victory* is the classical victim of his philosophy of life. He is the most definite expression of Conrad's innermost conviction of the "immense indifference" of a purely spectacular universe.

Mr. Kurtz in *Heart of Darkness* is the representative of Friedrich Nietsche's *uebermensch,* whose *hybris* cuts him off from communion with his fellow men. This proud individual, drawing his strength

solely from himself, becomes a principle of destruction where he is sent to build up. Hope does not exist for him since it would mean leaning against something outside himself, and so Kurtz dies as he has lived. His exclamation "The Horror! The Horror!" in the moment of his death does not surprise at all. When Mr. Marlow, the author's spokesman, admits that in his death Kurtz has won a victory over him, the reader gets an inkling that for Jogeph Conrad the heroic soul is the soul to which nothing unearned is necessary.

THE CHILD IS FATHER TO THE MAN

When Joseph Conrad was charged with a conspicuous predilection for solitary settings and isolated characters, he did not find it necessary to ward off an unjust accusation, but rather responded with an explanatory retort. In his "Author's Note" to *Within the Tides* he comments on the observation of his critics as follows:

> I have not sought for special imaginative freedom or a larger play of fancy in my choice of characters and subjects. The nature of the knowledge, suggestions, or hints used in my imaginative work has depended directly on the conditions of my active life. It depended more on contacts, and very slight contacts at that, than on actual experience; because my life as a matter of fact is far from being adventurous in itself....If their course lie out of the beaten path of organized social life, it is, perhaps, because I myself did in a sort break away from it early....(13)

Wordsworth's wise remark that the child is father of the man holds true also of Joseph Conrad; for it supplies a clue to the reason for his breaking away from "organized social life."

When Josef Teodor Konrad Korzeniowsky was born in the Polish Ukraine on December 3, 1857, his home-country groaned under the yoke of Russian domination. To shake off this oppression was the secret endeavor of the Polish nobility to which Konrad's father belonged. Apollo Korzeniowsky, an impoverished scholar and writer, hated the foreign power from the bottom of his heart. Poland's disgrace was felt by him like a personal humiliation and impelled him to counteraction.

The revolutionary movement in which Apollo Korzeniowsky

played a leading part, could not escape the notice of the extremely suspicious Russian police. In November 1861 he was arrested in the Citadel of Warsaw. Little Konrad—then three years old—was his mother's faithful companion on her frequent visits to the prison. There the child's sensitive mind received the first and lasting impressions of force and violence.

Only half a year later the high-spirited Mme. Korzeniowsky accompanied her husband into exile. Their child shared the fatigues and miseries of the long, painful journey under armed guard in a horse-drawn carriage. Their destination was Perm, from where they were soon deported to Vologda, a settlement far in the North. Later they were transferred to Chernikov, Northeast of Kiev. Joseph Conrad's childhood was that of an expatriate. It is no wonder then that this theme frequently recurs in his novels.

The mutual love of the three exiles was the only sunshine in the poverty-stricken home, and the secret hope for release through a successful insurrection of the Polish nation was the support for their patriotic convictions. Even this ray of hope, however, was extinguished when the rebellion, which had been prepared carefully by a Central Committee, failed in the early summer of 1863. This deathblow to the very work for which he suffered exile and all the hardships it entailed made Apollo Korzeniowsky a gloomy, low-spirited figure.

The father was deeply interested in his son's development. As he felt himself an old man at the age of forty-five, his only aim was to preserve the child from the tragedy that had caused his own ruin. With intense effort he implanted high ideals in the boy's heart, as is proven by these words: "Pole, Catholic, gentleman,"[14] which the six-year-old child had printed on the back of a photo that he was going to send to his dear grandmother, Mme. Bobrowsky. Those three words explain the adult's stern themes of duty and responsibility, as well as that of guilt, because he was unable to free himself of the sense of having been unfaithful to his Polish origin.

After less than three years of life in exile, Mme. Korzeniowsky fell a victim to her long lingering illness. Konrad was motherless

at the age of seven. From then on, the boy lived in almost perfect isolation with his gloomy, defeated father for more than two years. In the death of his genuinely loved wife, Apollo Korzeniowsky seemed to have lost the very reason for living and the embittered man's negative view of life was bound to influence the child's upbringing. So the father admitted in a letter to his friend Stefan Buszcynsky: "I teach him what I can. Unfortuantely it is not much. I protect him against the atmosphere of this place and the kid grows up as in a monastery cell."(15)

The lasting impression of this solitary life with his father is frequently reflected in the author's novels. Joseph Conrad's characters are motherless: Charles Gould in *Nostromo,* Antonia Avellanos in the same novel, Jim in *Lord Jim*, Legatt in *A Secret Sharer,* Lena and—Conrad's closest self-portrait with regard to his childhood and youth—Axel Heyst in *Victory,* all are children of troubled fathers. Their mothers are either dead or insignificant.

Of decisive importance for his later years was little Konrad's early love for books. Apollo Korzeniowsky was a rather able writer and earned some reputation as a translator of Victor Hugo, Shakespeare, and Alfred de Vigny into Polish. Influenced by the father's literary engagement Konrad, who was frequently left to himself, soon learned to seek compensation for his loneliness in the faithful companionship of books. Through books the boy became acquainted with the sea that was to play such an important role in his life and with his father's skepticism about human nature. The parent's pessimistic attitude was the result not only of the much-tried man's misfortune, but even more of Vigny's poetry with which the translator was imbued.

> The father's writings are marked by a basic skepticism about human nature. He was in particular obsessed by a somber vision of threatening forces which he saw rising up from a state of primeval chaos to overshadow and overthrow civilized man.(16)

When in later years Joseph Conrad spoke of his father, the mature man's description sounded rather unsympathetic and objective. But the child's contact with his father had been a very loving

and close one and had made him enter in the parent's spirit. After his father's death, uncle Thaddeus Bobrowski became the personal guardian of the eleven-year-old orphan. This man, although described by Joseph Conrad as a firm, but loving guardian, considered all members of the Korzeniowsky family as adventurers and financial failures. He was the exact opposite to the boy's father. He was realistic, hostile to revolutionary dreams, and resolved to stifle in Konrad what he considered "the inheritance of the worse side" of the child's parentage in order to save him from the impracticality of dreamers. This uprooting of the "pernicious heritage" meant an extinguishing of ideals that were deeply implanted in the boy's very being. The spiritual conflict necessarily following from it can hardly be overemphasized. These contrary forces in Joseph Conrad's education seem to have caused some of the contradictions in the mature man's personality. They explain Conrad's anti-romantic romanticism, as well as the disparity between his Polish patriotism and his simultaneous skepticism towards the Polish cause, his love of adventure and his cultivation of order and self-discipline.

There was some good reason for the well-meaning relative's concern about the boy. His deeply ingrained habits of solitude could not be regarded as desirable in one who was supposed to become a useful member of society.

Everything had become so different in Konrad's life after the death of his father that the boy was unable to adjust himself satisfactorily. He remained somewhat outside the social circle of his uncle's family, and thereby offended through his precocious, egotistic behavior. This development was bound to result in a tension that must be looked upon as the proximate reason for Conrad's choice of life at sea. The boy also suffered from a feeling of being handicapped through the restrictions and regulations resulting from his being sent to school. A disagreeable sense of dependence, felt all the keener because of his inherited as well as cultured antipathy against all sort of government, made him yearn for freedom. To the deluded mind of the child of a landlocked country, only life at sea could offer this desired liberty.

The youth's tendency towards a solitary life remained an essential trend in the adult. J. H. Retinger, a contemporary of the already famous author, testifies to this fact: "He never had been a misanthrope, but one could hardly call him a very sociable person. He did not make friends easily, maybe because he did not look for them."(17)

All the above mentioned factors: the father's pessimistic attitude towards life added to the Polish heritage of melancholy, the sufferings and hardships of a somber childhood, and the youth's revolt against ties that he found unbearable, opened the writer's eyes to those of mankind who were stragglers like himself. They became the characters of his novels. Conrad's consciousness of his own psychologic reactions made him capable of probing the depth of other souls which, after all, were essentially his own soul again. For in interpreting another's mental life we apply terms of our own attitudes of feeling and willing.(18) Joseph Conrad himself proves this finding of the psychologists correct when he states:

> The mere fact of dealing with matters outside the general run of everyday experience laid me under the obligation of a more scrupulous fidelity to the truth of my own sensations.(19)

Before proceeding to an illustration of "isolation" in Conrad's *Heart of Darkness*, and *Victory*, a short definition of the term will be useful.

In the chosen novels, the term isolation refers to both physical and psychic isolation. The former is brought about either by a wilful act of the individual concerned, or is a consequence of something that lies outside his own determination. Psychic isolation is a frequent, but not absolutely necessary concomitant of physical isolation. It constitutes a tendency to withdraw from social contacts. In many cases, such a behavior is due to a consciousness of some fearful secret that must not be divulged, or to psychical hurts the individual had suffered through society. In these instances isolation is a mechanism of defense.

THE FASCINATION OF THE ABOMINABLE

In *Heart of Darkness* Joseph Conrad guides his readers into the darkness of nineteenth century Africa. As a matter of fact, the author knew the interior of Africa from personal acquaintance. His knowledge was based on both factual observation and private experience that was to have a bearing on all the rest of his life.

In 1875 the Belgian Monarch, King Leopold II, had organized an "International Association for the Exploration and Civilization of Central Africa." In the next two years, Henry Morton Stanley's expedition up the Congo river had been followed with ardent interest in Europe's imperialistic countries. Reports, which gave promise of undreamed-of treasures hidden in the womb of an almost impenetrable virgin forest, had incited the greed of European powers. More and more white men had been sent into its darkness by commercial enterprises. To tear ivory out of the wilderness was their aim, or rather, their mission.

Such were the conditions when in 1889 Captain Konrad Korzeniowsky took it into his head to become master of one of the steamboats navigating the upper Congo. The general interest in the still unexplored continent had revived a long forgotten childhood desire, the aim of which had been a travel into the very center of that continent. In 1890 the thirty-three-year-old man accomplished what the child had dreamed of: Captain Korzeniowsky penetrated into the heart of darkness.

The purpose of Conrad's first trip upriver was to be initiated into the dangers of fresh-water navigation which was still unfamiliar to the sea mariner; and the aim of the tour was the heart of the Congo in which the Stanley Falls are situated. From there the "Roi des Belges" was supposed to transport back the company's agent whose failing health was causing great anxiety.

On his way into the interior of Africa, Captain Korzeniowsky did something that was absolutely unusual with him—he wrote a diary. This Congo diary is a precious document for Conrad's biographers as well as for his critics. Comparisons between *Heart of*

Darkness, especially the manuscript of this novel, and the diary, have proven that Joseph Conrad perpetuated his own experience in his novel on the "Dark Continent." The result of his endeavors is a highly biographical work. Mr. Marlow is the author's mouthpiece through which Conrad shares his knowledge with his readers.

Advancing into the interior of Africa, a traveler leaves behind him the last traces of civilization. The wilderness presses hard on all sides with unrelieved tracts of long grass and thickets, with a dense primeval forest, threatening and mysterious, and above all, with an unbearable solitude. It stands in the tropical sunshine like a beast of prey always on the alert to devour its victims, never to give them forth again. Worst of all is the morally dissolving sense of unreality with which it envelopes the sojourners.

> Going up that river was like travelling back to the earliest beginnings of the world, when vegetation rioted on the earth and the big trees were kings. An empty stream, a great silence, an impenetrable forest. The air was warm, thick, heavy, sluggish. There was no joy in the brilliance of sunshine. The long stretches of the waterway ran on, deserted, into the gloom of overshadowed distances. On silvery sandbanks hippos and alligators sunned themselves side by side. The broadening waters flowed through a mob of wooded islands; you lost your way on that river as you would in a desert, and butted all day long against shoals, trying to find the channel, till you thought yourself bewitched and cut off for ever from everything you had known once—somewhere—far away—in an other existence perhaps.
>
> .....
>
> The earth seemed unearthly. We are accustomed to look upon the shackled form of a conquered monster, but there you would look at a thing monstrous and free. It was unearthly, and the men were—No, they were not inhuman. Well, you know, that was the worst of it—this suspicion of their not being inhuman. It would come slowly to one. They howled and leaped, and spun, and made horried faces.[20]

This wilderness of the primeval forest is the scene of Mr. Kurtz's spiritual change from a generally praised and appreciated man of confidence to an unrestrained slave of ivory. On the other hand it is also the scene of Marlow's mental enrichment.

The author whom he represents said in a conversation with

Edward Garnett after his return to Europe: "Before the Congo, I was just a mere animal."[21] Mr. Marlow might have said the same.

Captain Marlow's trip up the Congo is essentially a journey towards Mr. Kurtz, the distinguished ivory agent. What he has heard about that man has sufficed not only to make him profoundly interested in the object of so much disputation and controversy, but also to arouse in him an indistinct desire for personal acquaintance with Mr. Kurtz. The reason of this secret longing is the agent's reputation of being different from all the rest of those who have come out to make their fortune in the ivory country. Both his patrons and his enemies agree on this point. No wonder, therefore, that Mr. Marlow, greatly disgusted with the immorality he has found in the trading stations, is looking forward to a meeting with this remarkable exception.

The ivory agent, however, whom he finds in the inner station of the company, presides at midnight dances that are offered up to him, raids the country with the help of a native tribe, decorates the fences of his station with the heads of "rebels", and orders an attack to be made on the steamer that comes to his aid. What has happened to the champion of humanity and progress?

Approaching the "Dark Continent" and watching the coast as it slips by, "featureless as if still in making," Captain Marlow racks his brains for the meaning that is hidden behind its monotonous grimness. Yet, before long he is given a chance to cast a glance into the abyss of its demoralization. Nobody, for instance, really cares whether the soldiers "just flung out" in some port get drowned in the surf or not. A French man-of-war shells the bush in which not even a shed can be seen and this proceeding is called "war". A Swede hangs himself because the sun of the country is "too much for him". Natives, black shadows of disease and starvation, are allowed to crawl away into the protection of a grove to expect death there after having become inefficient workers. Others with iron collars on their necks joined together with chains are weighed down by heavy loads like beasts of burden. They are called "criminals." The company's chief accountant, keeping up his appearance with

stainless white linen while everything else in his station is in a muddle, gets annoyed about the groans of a dying agent in his room because he has to make "correct entries". A drunken European, and at some distance a negro with a bullet-hole in his forehead, the "pilgrims" in the central station who, as a sort of pastime, intrigue against, slander, and hate each other—these are the proofs of moral decay on a great scale. The silence of the primeval wilderness is screening a "flabby, pretending, weakeyed devil" and with it Mr. Marlow is confronted.

Kurtz, the "universal genius," is very sure of himself when he arrives in Africa. In answer to his request, he is entrusted with the best and innermost station in the real ivory district. His solitude in the depth of the Congo is shared by an assistant only, and when this man is no longer able to satisfy the greed of his master, he is sent out of the country. Mr. Kurtz plunges himself into his isolated world and its promise of extraordinary success. Nevertheless, he need not have succumbed to its temptations if he had been faithful to the principles he so ardently propagated, or rather, if those principles were not only a mask, but his own to the very core of his being. For taken in the metaphysical sense "the distinction between the full and the empty seems to me more fundamental than that between the one and the many."(22)

The mature personality who is in possession of inner values is independent of the spiritual favor or disfaver of his environment. Notwithstanding an eventual psychic isolation, he will maintain faithfulness to his convictions. Not so the spiritually empty man. His attitude is determined by his surroundings. When put to the test he "rings hollow."

For some time it seems as if Mr. Kurtz were a spiritually full man. When asked by the "International Society for the Suppression of Savage Customs" to contribute to their organ by writing of his experiences, he produces a contribution vibrating with eloquence and conveying "a notion of exotic Immensity ruled by an august Benevolence." But even while still pursuing his humane aims and voicing them in his article, Mr. Kurtz is already subject to his

dangerous perceptions without being aware of it. The knowledge that the white man on account of his progress necessarily appears to the natives like a supernatural being, or a deity, is a stronger allurement than the casual reader may realize. Not yet knowing himself, Mr. Kurtz is convinced that he is going to use his position for the benefit of the savages. This unprejudiced trust in himself, instead of a belief in a power above him, is Mr. Kurtz's sore spot, the germ of his moral decay.

If it is quite true that whatever the conditions of a given civilization may be, there will remain an acute temptation to forsake its code, how much more must this be true for a solitary man in an impenetrable wilderness. In the virgin forest no public opinion, and no tradition, no kind voice of a neighbor, and no police are at hand to keep man on the path of virtue. In the profound silence of such a wilderness he has only one guide—his innate voice demanding faithfulness to the maxims of an absolute truth. What then must become of him who no longer is able to listen to that voice? And is not the problem profoundly intensified for one who never truly made his own the principles to which he had given exterior adhesion? The solitude will find him out; it will unmask him; it will strip him of his cloak of pretence and dissimulation; it will lay open his inner emptiness. Precisely this is what happens to the ivory agent.

Man bocomes subject to the assaults of dark powers only because he carries the mark of vulnerability in him. Mr. Kurtz does not belong to the "thunderingly exalted" sort of man to whom the earth is only a spring-board into another, better existence; therefore he is not immune to the temptations of darkness. The wilderness whispers of unlimited possibilities and this whisper rings loud in his hollowness. His pride exults in the prospect of a glorious career. It never occurs to him that he is vulnerable. His fall is, therefore, accordingly:

> The wilderness had patted him on the head, and behold, it was like a ball—an ivory ball; it had caressed him, and—lo!—he had withered; it had taken him, loved him, embraced him, got into his veins, consumed his flesh, and sealed his soul to its own by the inconceivable ceremonies of some devilish initiation.[20]

The ivory agent becomes the slave of a treasure he hates, but from which he is unable to tear himself away. The ivory of Africa constitutes an enthralling and demoralizing power to which Mr. Kurtz is subject. He shares the fate of the saver of the San Tome silver in *Nostromo*. Both begin a courageous undertaking with seemingly good intentions and end as victims of the lusts whose gratification they seek. Mr. Kurtz, the unrestrained pusher, gives free rein to his mean desires and becomes their captive. The glamor of the wilderness in the form of ivory claims its agent. For its sake he deserts all humane aspirations and raids the country when he has no goods to trade with. Ivory is the satisfying compensation for all values the primeval world denies its agent, and the virgin forest is its storeroom.

When Mr. Marlow speaks of the self-control practiced by the starving crew of cannibals aboard the "Roi des Belges," it is for the sake of contrasting them to the lack of restraint in the representatives of a civilization that claims to possess redeeming faculties. Mr. Kurtz is the very symbol of the European powers which pretend to give, but which in reality take. They take like their emissary who asserts a claim on all the wilderness around him. The river, the station, the virgin forest—everything is his. He has established his kingdom in the wilderness in which he reigns with absolute sovereignty. So much, however, is Mr. Kurtz possessed by what he thinks to possess that neither reason nor a ruined body are able to defeat the spectre of ivory. "Oh, but I will wring your heart yet!" are his parting words to the scene of his imagined victory and actual defeat.

Mr. Kurtz has kicked himself loose of the earth; ivory is his idol to which he prays, which he loves and hates at one and the same time. Nothing else exists above or below this madman; his exalted degradation is the only norm for his law. With a trembling hand the ungodly-godlike man puts down a postscriptum to his brilliant report: "Exterminate all the brutes!" Presumption was Mr. Kurtz's vice with which his fall began; unrestrained gratification of his lusts its result. The end strikes the listener with terror:

"The horror! The horror!", Mr. Kurtz cries out in the moment of his death.

Heart of Darkness is a novel on the lack of restraint in man. Deliberating on the fact that such a lack is not a first cause, but rather a result, one comes to the conclusion that the deepest meaning is a hidden one. It is the faith in or devotion to spiritual values that can restrain man's lusts. Precisely because nothing of that sort exists for the ivory agent, he knows no restraint. Mr. Kurtz is empty inside, he is hollow at the core.

Captain Marlow, an intellectual like the ivory agent, faces the same problems, but he perceives the danger of the wilderness. In his awareness of the moral decay to which all those are exposed who venture into the heart of darkness, and in his determination to keep aloof from the potency of the evil powers, Mr. Marlow becomes an isolated individual like Mr. Kurtz. He turns his back on the central station with its vile pretence and by doing so, saves his moral principles through the blessings of labor. Nevertheless he is vulnerable.

Being man, Mr. Marlow is essentially a social being. In his isolated position in the midst of the moral corruption of the station, he commits himself to the shadow of the unknown agent simply because that man seems to have come out "equipped with moral ideas of some sort." This rather unprejudiced commitment is Captain Marlow's pitfall. The sober seaman allows himself to be captivated more and more by the thought of meeting the man who is a solitary straggler like himself; so much so that for him the Congo River becomes the road towards the object of his longing, and a conversation with the ivory agent an inestimable privilege.

"It would be interesting for science to watch the mental changes of individuals on the spot," the old doctor in Brussels had said before Marlow had left for the Congo. The Captain is conscious of becoming increasingly interesting. He realizes that the most severe test he must face is that of preserving his sanity when the outward regulators are left behind. The solitude of the primeval forest and the malicious climate are strong enough to make a vigorous sailor fling

a pair of new shoes overboard out of sheer nervousness. And the reason is only a seemingly lost chance for conversation with some unknown man. So depressing is Mr. Marlow's intellectual isolation that the supposed death of the ivory agent, or rather the silencing of that voice is as desolating to him as missing one's destiny in life would be. For the sake of his unknown "friend in a way" he is almost ready even to abandon his love for truthfulness while the lie tastes like abominable corruption in his mouth.

Only at the end of his journey, Captain Marlow is confronted with the object and the horror of his secret choice. This encounter is wholesome for him. In the career of the ivory agent, he beholds the possibilities of man's development; he stands face to face with the lapse into the primeval self of man. This recognition is decisive. While Captain Marlow remains faithful to the "nightmare" of his choice up to the very end, his shocking insight prevents him from going in the same direction. This is Mr. Marlow's victory over his low self, his elevation above the "animal" in him.

AXEL HEYST, THE DETACHED LEAF IN VICTORY

Joseph Conrad treasured *Victory* as his dearest if not best work in fiction. The guess that it was, perhaps, some personal tie that associated him with his "detached leaf" may not be too farfetched.

Axel Heyst's road to isolation resembles that taken by Joseph Conrad; and the mature men's unanimity in scorning the world that "moves by folly alone" is equally evident. Axel Heyst is the son to an expatriated Swedish baron; Joseph Conrad that of an expatriated descendant of the Polish nobility. Both fathers are disappointed with life and angry at the whole world; both sons are motherless and live for three years in relative isolation with their fathers. The elder Heyst is a philosopher and writer; Apollo Korzeniowsky is a writer imbued with philosophy. Both sons emerge from the period of solitude spent with their fathers contaminated with profound distrust towards life. Joseph Conrad's choice is, therefore, the sea with its "full privilege of desired unrest" because, confronted with the necessities of life, he has to aim at something. Not so with the

fictional Heyst. "I will drift," is his resolution when he learns from his father that the only correct attitude towards life is that of indifferent aloofness or, better still, that of equable contempt. "Look on—make no sound," had been the elder Heyst's last advice; and the son obeys it faithfully. A fortnight after his father's death, Heyst turns his back on London to trod the globe.

> Roughly speaking, a circle with a radius of eight hundred miles drawn round a point in North Borneo was in Heyst's case a magic circle. It just touched Manila, and he had been seen there. It just touched Saigon, and he was likewise seen there once. Perhaps these were his attempts to break out.(24)

Without any evident aim, Heyst sails the Java Sea, disappears into the wilderness of New Guinea, and drifts back into the Malayan archipelago. In Timor he becomes associated with Captain Morrison. This event has bearing on Heyst's future. Together with Morrison he calls the Tropical Belt Coal Company into existence. Heyst assumes the role of a manager and settles down in Samburan, a little round island out of all touch with the scorned world. He remains there even after the liquidation of the company and the departure of the coolies and engineers from the Black Diamond Bay.

Following his father's advice, he had chosen to be solitary not so much through a hermit-like withdrawal as through a system of restless wandering. Unconscious of friend and enemy, he had considered himself well isolated and, thereby, immune against all snares of the world. This isolation he had designed as a preventive means to help him pass through life without sufferings and cares—"invulnerable because elusive."

All imperfection is bound to lead to trouble. Axel Heyst's cooperation with Captain Morrison was determined by a stir of interest in the fellow pilgrim. This is more than the father's teaching permits. Axel Heyst soon becomes conscious of having been untrue to himself. He has let the world enter into his life and lay hold on it.

> I had, in a moment of inadvertence, created for myself a tie. How to define it precisely I don't know.....I only know that he who forms a tie is lost, The germ of corruption has entered into his.(25)

The explanation proper to the tragedy of Heyst's life is that he simply is not born to live up to the demand of so perfect a negation as was advocated by his father. He gropes through the night of that philosophy "with all his social antennae sensitively outstreched."

One act of inconsistency results in another as one link of a chain holds the next. The most poignant recognition that dawns on Heyst after the failure of the joint undertaking is that of his aloneness. Axel Heyst leaves the position of a looker-on also in respect of his own psyche. He is no longer the objective spectator of his life's drama, but beholds his innermost self involved in it playing a role that starves his noblest abilities. This realization comes to Heyst as a sort of punishment. He should not have left his isolated island to join human society even if he did so for a brief period only. In Timor, amidst the noise and bustle of Schomberg's hotel, Axel Heyst has to submit to the truth that hardly anything is so harrowing for man's feeling as sharp contradictions. He comes forth from the trial psychically prepared to accept Lena as his companion. This second yielding to the impulse that had led him to Morrison plunges him into ruin. His initiatory compassion and later on his sincere attempt to love the girl destroy the very foundation of his philosophy. The perfidious act cannot bring him joy. Heyst suffers. "And I, the son of my father, have been caught too, like the silliest fish of them all." This perception is intensified by the strange pain the gossip of the islands causes him. It is a moral stab in his back. Heyst struggles: "As if it could matter to me what anybody had ever said or believed, from the beginning of the world till the crack of doom!" The new disillusionment is an altogether queer and offensive one; and the point is that he has brought it about by his own decision.

On the other hand, however, Heyst is still too much the son of his parent to meet the need of the moment; yes, he is unable to see it distinctly. Again we are confronted with one of Conrad's conspicuous contradictions. The denied providence is set in action to avenge Heyst's apostasy from his own creed. His trip to Timor also entails the visit of a trio of vagabonds. Axel Heyst becomes the victim of an inexorable fate. At the moment when he reassures

Lena that nothing can "break in" on them in their solitude, Wang, the Chinese coolie, announces the arrival of the destroyers of their peace. The novel's tragic ending confirms the statement that "he who forms a tie is lost."

Heyst's lot provokes the reader into asking in how far it is representative of man's life in general. The answer is given by Heyst himself: "Woe to the man whose heart has not learned while young to hope, to love—and to put its trust in life!" Man is created as a social being. He can, therefore, not go scot-free whenever he tries to invert so fundamental an order as is human solidarity. Heyst constantly refuses to integrate himself in it, but he cannot evade its domain. On the contrary, hardly is anybody ever more subject to its law than that scorner who, through the lacerating experience of his failure, atones for his father's errors.

Action, the indispensable symptom of a sound organism, is bound to become fatal for Axel Heyst because his attitude towards it is a negative one from the very beginning. As he is not ready to undergo any risk, he is not even able to guess his chances.

"Thought, action—so many snares! Although such a conviction is pernicious in itself, Heyst's inability to love is by far the worst of his deficiencies. His disaster is inevitable because his incapacity for attachment on the one hand and his pretended, but shaky detachment on the other necessarily result in a conflict out of which the unbeliever sees no way. He cannot be saved because he knows no hope. His suicide is Heyst's final admission of the most tragic truth a human being can ever perceive: He has missed his destiny in life.

The history of Axel Heyst verifies a truth as old as the human race. Not with impunity does man go against the laws of nature. They are victorious even over the most outspoken negation. There is little likelihood, however, that it determined Conrad's choice of the title of this novel. The more striking victory is that of Lena's genuine love over Axel Heyst's resistance to his nobler self. Her womanly readiness for selfsacrifice defeats the loved man's suspicion. The simplicity of her affection renders his sophistication ineffective.

Axel Heyst is devoid not only of the consolation of genuine affection, but even of bodily security. He is inhibited in every respect by his enslaving philosophy of life. Heyst has nothing to offer.

Lena's cause of grief turns out to be her unique chance. The hour of her death witnesses her great triumph. Still she pleads to be freed from the burden of her loneliness: "I've saved you! Why don't you take me into your arms and carry me out of this lonely place?" But by this time, Heyst's distrust is defeated by her generosity:

> Stooping over her with a kindly, playful smile, he was ready to lift her up in his arms and take her into the sanctuary of his innermost heart—forever![26]

* * * * *

In going through Joseph Conrad's novels, the reader perceives that the pattern of isolation is fairly uniform in most of them. The characters, for one reason or other, ignore the laws of human solidarity, fail to integrate themselves into society, and die as victims of an incomprehensible fate. The variety of forms which isolation takes, is the result of the great number of possible attitudes which man can have towards life as a whole and towards the demand of the moment in particular.

Heart of Darkness confronts the reader with the problems involved by imperialism. Greed lures Kurtz and his comrades into the domain of a demoralizing wilderness. Heyst in *Victory* is Conrad's self-exiled hero. His isolation as a means of protection is a denial of all sorts of values, intrinsic and extrinsic. Heyst is the most solitary of Conrad's characters.

When reading Conrad's novels in their chronological order, they demonstrate the author's consciousness of the "absurdity of life" as increasing with his advance in age. Axel Heyst's words that there is something of his father in every man who lives long enough, are highly suggestive of what had happened to Conrad himself. Nowhere else is he so outspoken scornful of the world as in *Victory*. "It is by folly alone that the world moves." This statement and his calling life a "Great Joke" resemble greatly the language of modern existentialists.

The "absurdity" is, according to Joseph Conrad, due to the indifference and coldness of the universe with which man has to contend; and man's failure is always the consequence of his resistance to a surrender. Hence Conrad's praise for those who submit to the destructive element. But even submission is no way to salvation. This recognition opens new perspectives. Not the struggle of man with the "immense indifference," but rather his struggle despite that indifference is what we have to call absurd. Axel Heyst refuses to muster the courage for a grappling with life. This for him is peace. As soon as he gets involved in life, he is lost. But the full thruth is that his peace is self-deception. It is a complacency devoid of redeeming qualities in every respect. Heyst is nearer to his salvation when he opens himself to a sentiment of genuine love.

Lastly, it must be admitted that there is an obvious discrepancy between Conrad's emphasis of the necessity of social integration and his adherence to a philosophy that calls all attempts in this direction hopeless on accout of the "bizarrely thwarted" communication in a disordered universe. Perhaps it is Joseph Conrad's truthfulness that reconciles two so heterogenous views of life. For it requires honesty and courage to admit the divorce between man and man which necessarily results from a rejection of faith in the Bond of Unity—the Spirit of God.

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(16) *Ibid.*, pp. 220-222.
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(18) Otto Rank, *Psychology and the Soul*, (Philadelphia, 1950), pp. 6-10
(19) Cushwa, *op. cit.*, p. 241.
(20) Joseph Conrad, "Heart of Darkness," *Tales of Land and Sea*, (New York: Hanover House 1953), pp. 62-65.
(21) Gerard Jean-Aubry, *op. cit.*, p. 175.
(22) Marcel, *op. cit.*, p. 3.
(23) Conrad, *Tales of Land and Sea*, p. 76.
(24) Joseph Conrad, *Victory*, (New York: Doubleday, Page & Co. 1920), p. 7.
(25) *Ibid.*, pp. 224-225.
(26) *Ibid.*, p. 457.

康拉德筆下的隔離人物

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摘　　要

康拉德的小說內，隔離這一主題呈現相當規則的紋理。書中的要角，總爲了某些緣故，忽視了人的羣性，不能把自己投入社羣，而終於受冥漠的命運擺佈而至喪生。由於人類對整個生命，對個別環境可以有不同的看法，故「隔離」也有各種不同的形態。

「黑暗的核心」所牽涉的，是帝國主義的問題。柯茨和他的同伴，因貪婪的引誘，走進了令人道德淪亡的荒野。「勝利中的」海斯特，爲康拉德典型的自我放逐型英雄。他摒棄一切外在內在價值，以隔離自保，是康拉德筆下最孤獨的人物。

康拉德的「生命荒謬」觀，是與歲日增的。把他的作品繫年順序而讀，即可發現此點。海斯特說，任何人只要年壽稍增，即會分享其父一部份個性。以此語加諸康拉德，亦非無據。在「勝利」中，作者强調人世之可鄙，更甚於他書。他說：「世界是純獸由愚蠢推移的」，又說生命是「一大玩笑」。此語和近世存在主義說，如出一轍。

依康拉德說，生命之所以荒謬，是由於人類所對抗之宇宙，是冷酷無情的。而人類之所以失敗，是由於頑抗而不肯投降。故康拉德常稱美肯對破壞力屈服的人。但即此種屈服，仍非得救。此一認識，導至新的透視。我們以人生爲荒謬，並非因人類掙扎對抗「廣大的無情」，而是人類面對如此的「冷漠」，仍思掙扎。海斯特甚至不願鼓起勇氣與生命角逐。對他來說，這就是安寧。他一旦介入，立刻就迷失。事實上他的安寧是自欺。這是自封救贖之路的安寧。他最接近得救乃是當他心內溫情湧現，敢於眞愛時。

最後我們須得承認，康拉德的作品內，有兩種要素是矛盾的。他一方面强調社羣合一之必要，一方面又認爲在這混世之中，任何合一社羣的努力，均屬徒然。也許由於康拉德的忠實，才調協了這兩種不同的人生觀。神是統攝萬物的聯繫。捨棄了這一信念，必然導至人與人之間的隔離。要承認這一點，是需要誠實和勇氣的。

A CONTRASTIVE ANALYSIS OF THE COMPARATIVE CONSTRUCTIONS OF ENGLISH AND MANDARIN CHINESE

EDWARD C. H. YANG

INTRODUCTION

This paper deals with a contrastive analysis of the comparative constructions of English and Mandarin Chinese or the Peiping dialect. It will begin with a discussion of English comparative sentences and grammatical rules based on two articles: "Grammatical Analysis of the English Comparative Construction"(1) by Robert B. Lees, and "A Class of Complex Modifiers"(2) by Carlota S. Smith. The second part of the paper gives the simple constructions of Chinese comparative sentences, followed by a set of transformational rules which enumerate all and only well-formed sentences containing comparative constructions.

Since no material is available on Chinese generative grammar, the rules given here are all original. It is hoped that these rules will fit in well with the total grammar of Chinese that might exist but is unknown to the author of this paper.

Finally in the paper, I will discuss further similarities and differences of the same constructions in English and Chinese. I hope this study can also be of some help to those who study English or Chinese as a second language.

I. English Comparative Construction

A. *Two Types of Comparative Morphemes*

Probably the construction of comparative sentences is one of the few areas most explicitly treated in the traditional grammars. No grammarian fails to give enough formal information to his readers about comparative constructions, and the difference between those adjectives and adverbs which are compared by the suffixes *-er* and *-est*, and those polysyllabic words which require the use of a preceding

more or *most*. We may divide the comparative morphemes into two types, which have different structural requirements:

Type 1: more (-er) + {adj. / adv.} + than

as + {adj. / adv.} + as

less + {adj. / adv.} + than

Type 2: more + {adj. / adv.} + than (but not -er)

rather + {adj. / adv.} + than

less + {adj. / adv.} + than

When sentences are conjoined by the morphemes of type 1, the conjunction is subject to deletion only if an identical adjective or adverb occurs in both. In this case, the adjective or adverb must be deleted in the second sentence. After deletion of the adjective or adverb, the verb *be* may be reduced (Sentence 4 below) if it has the same form (say, *is*) in both sentences; but the verb (if it has the same form) must be reduced (Sentence 7), or the proper form of the pro-verb should be used.

(1) *John is taller than Bill is tall.
(2) John is taller than Bill (is).
(3) John is as tall as Bill is tall.
(4) John is as tall as Bill (is).
(5) Mary is smarter than she is pretty.
(6) *John runs faster than Bill runs fast.
(7) John runs faster than Bill (does).
(8) John works as hard as Bill.

Sentences can be conjoined by the Type 2 morphemes only if they have the same subject. After the conjunction the second sentence must be reduced so that only the adjective remains. The following examples are taken from Carlota Smith's article:

(9) *The sun is bright rather than the sun is hot.

(10) The sun is bright rather than hot.

(11) The sun is less bright than hot.

(12) *The sun is hotter than bright.

B. *N is A* (*N=Noun; A=Adjective; V=Verb*)

To develop the rules that produce the simplest comparison, Carlota Smith adopts the notion of *N is A* and *NV(N)A*[3] for the structures of the source-sentences. According to her, a rule to produce comparative conjunctions must provide for the operations of conjunction and deletion, under appropriate circumstances. The rule has roughly this form (She uses *as...as* to represent all the morphemes of Type 1, and *rather...than* to represent the morphemes of Type 2):

1. Conjunction:

   Condition: S_2 is not negative.

   a. Sentence 1: N is A
      Sentence 2: N is A
      $\longrightarrow$N is as A as N is A

   b. Condition: $N_1=N_2$
      Sentence 1: N is A
      Sentence 2: N is A
      $\longrightarrow$N is A rather than N is A

2. Deletion:

   aa. Obligatory; condition: $A_1=A_2$
   N is as A as N is A$\longrightarrow$N is as A as N is

   ab. Optional; condition: $aux_1=aux_2$
   N aux is as A as N aux is$\longrightarrow$N is as A as N

   b. Obligatory:
   N is A rather than N is A$\longrightarrow$N is A rather than A

The rule will form sentence (2), for instance, as follows:

a. John is tall.
   Bill is tall.
   $\longrightarrow$John is taller than Bill is tall.

b. John is taller than Bill is tall$\longrightarrow$John is taller than Bill is.

c. John is taller than Bill is$\longrightarrow$John is taller than Bill.

Sentences with compared adverbs will be produced by rules analogous to the rule for comparative conjunction with adjectives. Sentence (7) is produced by the following steps:

a. John runs fast.
   Bill runs fast. } +er...than

b. John runs faster than Bill runs fast.

c. John runs faster than Bill runs. (Deletion obligatory)

d. John runs faster than Bill.

To produce a sentence containing a transitive verb,

(13) John speaks English better than Bill.

we use the contracted form N V N A (where A=adverb of manner) for the source-sentences:

a. John speaks English well.
   N V N A
b. Bill speaks English well.
   N V N A
} ⟶ John speaks English better than Bill speaks English well.

Obligatory deletion: John speaks English better than Bill speaks.

Obligatory deletion: John speaks English better than Bill.

C. *A Clever Device*

The examples and tentative rules given above are based on Carlota Smith's article on complex modifiers. Robert Lees's treatment of the comparative sentences is different from Carlota Smith's. He introduced the modifier *that* as an adverbial, which is considered as the material following the second *as* of:

(14) He is as tall as she.

Thus, we get:

(15) He is as tall as that.

Furthermore, the *that* in (15) can be regarded as parallel to the *that* of

(16) He is that tall.

This is quite a logical device, for which Lees gives two reasons: First, the *that* of (16) appears to be a kind of pre-adverbial modifier which, though differing from *very, quite, rather*, etc., will be very useful in deriving questions and comparatives in the following way: by operating upon the *that* as adverbial with the WH-transformation we obtain:

(17) How tall he is...

or, if the sentence had already been questioned, we would have derived:

(18) Is he that tall?⟶

(19) How tall is he?

And secondly, considering the *as...as* and the *more...than* expressions to be (comparative) operators like the WH, and permitting them to replace the *that*, even though discontinuously, we obtain:

(20) He is that tall.⟶He is as tall as...

⟶He is more tall than[4]...

Thus, the derivation of (14) will be as follows:

(21) He is that tall.
(22) ⟶He is as tall as she is that tall.
(23) She is that tall.

(24) $\xrightarrow{ob}$He is as tall as she is tall.

(25) $\xrightarrow{ob}$He is as tall as she is.

(14) $\xrightarrow{ob}$He is as tall as she.

It seems to me that there is another reason for the inclusion of the *that*-constituent in the source-sentences of the transformational rules. I have noticed the difference of the source-sentences of the following two sentences:

(26) The boy is older than the girl.

(27) The lamp is brighter than the candle.

Using *N is A*, we will have the source-sentences as follows:

(28) The boy is old.
(29) The girl is old.

(30) The lamp is bright.
(31) The candle is bright.

That the lamp or the candle is bright is a fact. Therefore, the two kernel sentences of the second group (30, 31) can be spoken alone without ambiguity. Since we want to compare the difference or degree in their brightness, it is better to use the *that*-constituent in the matrix-sentence and the constituent-sentence.[5] But it will be quite confusing if we say "The boy is old," because he cannot possibly be old and yet a boy. Sentence (26) simply means they are

not of the same age. Let us examine the derivation of a complex sentence:

(32) He has a father.
(33) ⟶He has a father who is old.
(34) The father is old.

Sentence (34) is not the same as (29). There is a special group of quantifiable adjectives such as *tall, wide, deep, long, high, old*, etc., before which some pre-adjectival modifiers such as *five feet* (tall) may occur. Both of the following two sentences are correct:

(35) He is as old as she.
(36) He is as young as she.

However, we can say "He is five years old," but not "He is five years young."

Thus, we can see the *that* before the above-mentioned quantifiable adjectives has another function (besides the two reasons given by Lees)—to help avoid ambiguity in meaning. Also, Lees's including the *that*-constituent in the two source-sentences is logical and hence better than the abstract form of *N is A*. His device is based on the linguistic theory that the constituent-structure of transformation may most easily be derived from that of the source-sentences by a uniform process of substitution:

> "It is quite possible that *all* cases of derived constituent-structure can be formulated in terms of substitutions for kernel-sentence constituents, except for a few rare de novo creations in simple transformations of sentence-types."(6)

The comparatives may also be constructed with adverbial expressions in the same way:

(37) He walks as slowly as I. (He walks that slowly.)
(38) He comes as frequently as once a day. (He comes that frequently.)

D. *Rules*

Since the main difference between Carlota Smith's and Lees's rules is the use of the *that*-constituent in the source-sentences, and since this device is considered logical, the following rules that generate the English comparative constructions are based on Lees's article.

GT. $$\left.\begin{matrix} X+that+A+Y \\ Z+B+W \end{matrix}\right\} \longrightarrow X+\left\{\begin{matrix} as+A+Y+as \\ more+A+Y+than \end{matrix}\right\} Z+B+W$$

where: (1) A=adj and B=that+adj

or: (2) $A=Man_x$, and $B=Man_x$

and where: Man_x is a particular subclass of Manner Adverbials of the form:

$$Man=(Adv_a)Adj+ly$$

or its equivalent, where Adv_a is an Attributive Adverbial, and where: Z+B+W is not Negative.

Reductions:

T1.

$$X\left[\begin{matrix} as+Adj+Y+as \\ more+Adj+Y+than \end{matrix}\right] Z+that+Adj+W \longrightarrow$$

$$X\left[\begin{matrix} as+Adj+Y+as \\ more+Adj+Y+than \end{matrix}\right] Z+Adj+W$$

T2.

$$X\left[\begin{matrix} as+Adj_1+Y+as \\ more+Adj_1+Y+than \end{matrix}\right] Z+Adj_2+W \longrightarrow$$

$$X\left[\begin{matrix} as+Adj+Y+as \\ more+Adj_1+Y+than \end{matrix}\right] Z+W$$

Where $Adj_1=Adj_2$

T3. (Optional)

$$X+Vb_1\left[\begin{matrix} as+Adj+Y+as \\ more+Adj+Y+than \end{matrix}\right] Z\left(\left[\begin{matrix} Ing \\ En \end{matrix}\right]\right) Vb_2+W \longrightarrow$$

$$X+Vb_1\left[\begin{matrix} as+Adj+Y+as \\ more+Adj+Y+than \end{matrix}\right] Z+W$$

Where $Vb_1=Vb_2$

T4. (Optional)

$$X\left[\begin{matrix} have+En \\ M \end{matrix}\right] be+Y\left[\begin{matrix} as+Adj+Z+as \\ more+Adj+Z+than \end{matrix}\right] W\left[\begin{matrix} have+En \\ M \end{matrix}\right] be+U$$

$$\longrightarrow X\left[\begin{matrix} have+En \\ M \end{matrix}\right] be+Y\left[\begin{matrix} as+Adj+Z+as \\ more+Adj+Z+than \end{matrix}\right] W\left[\begin{matrix} have \\ M \end{matrix}\right] U$$

T5. (Optional)

$$X+M+have(Y)\begin{bmatrix}as+Adj+Z+as\\more+Adj+Z+than\end{bmatrix}W+M+have+U\longrightarrow$$

$$X+M+have(Y)\begin{bmatrix}as+Adj+Z+as\\more+Adj+Z+than\end{bmatrix}W+M+U$$

T6. (Optional)

$$X+Tns\begin{bmatrix}M_1\\Aux_{b1}\end{bmatrix}Y\begin{bmatrix}as+Adj+Z+as\\more+Adj+Z+than\end{bmatrix}Nom(Prev)Tns\begin{bmatrix}M_2\\Aux_{b2}\end{bmatrix}$$

$$Y+W\longrightarrow X+Tns\begin{bmatrix}M_1\\Aux_{b1}\end{bmatrix}Y\begin{bmatrix}as+Adj+Z+as\\more+Adj+Z+than\end{bmatrix}Nom+W$$

Where: Y is in the main clause of the Constituent-sentence.

The obligatory deletion rules will form sentences like the following:

T1: He is as tall as she is tall.

T2: She is taller than I am.

The optional deletion rules:

T3: He walks as slowly as I.

T4: He would have been talking louder than I would have.

T6: He says that she talks more loudly than they.

II. Chinese Comparative Construction[7]

A. *Comparative sentences containing stative verbs*

1. Comparison:

	NP_1	bǐ	NP_2	SV
(1)	Tā	bǐ	wǒ	gāu.
	(he, she)	(compared with)	(me)	(tall)
	'He is taller than I.'			
(2)	Jèige	bǐ	nèige	hǎu.
	(This)		(that)	(good)
	'This is better than that.'			
(3)	Lǐ syānsheng	bǐ	Wáng syānsheng	dà.
	(Mr. Li)		(Mr. Wang)	(old)
	'Mr. Li is older than Mr. Wang.'			

When two things are compared, the coverb *bǐ* 'compared with' is always used, and if the comparison is the stative verb as shown

above, the order of the morphemes remains unchanged.

2. Similarity:

If we want to say "He is as tall as I" in Chinese, we have to say:

(4) Tā gēn wǒ yíyàng gāu.

Instead of *bǐ* we have gēn...yíyàng, which performs the same role as *as...as* in English.[8] The pattern of the construction is as follows:

	NP_1	gēn	NP_2	yíyàng	SV
(4)	Tā	gēn	wǒ	yíyàng	gāu.
	(he)	(and)	I	(equally)	(tall)

'He is as tall as I.'

(5)	Jèige	gēn	nèige	yíyàng	hǎu.
	(This)		(that)		

'This is as good as that.'

(6)	Lǐ syānsheng	gēn	Wáng syānsheng	yíyàng	tà.

'Mr. Li is as old as Mr. Wang.'

To make the above sentences negative, we put the negative word *bù* before *bǐ* in the first group and before *gēn* in the second group. Thus, we obtain:

(7) Ta bù bǐ wǒ gāu.

(8) Tā bù gēn wǒ yíyàng gāu.

B. *Adverbs of Manner*

1. Comparison

a. Sentences containing intransitive verbs:

	NP_1	bǐ	NP_2	IV	de	Man	
(9)	Tā	bǐ	wǒ	pǎu	de	kwài.	'He runs faster than I.'
			(me)	(run)		(fast)	
(10)	Tā	bǐ	wǒ	shwō	de	hǎu.	'He speaks better than I.'
				(speak)		(well)	

To express the manner in which the action of a verb takes place, Mandarin Chinese attaches the particle *de* to the action verb.

b. Sentence containing transitive verbs:

	NP_1	TV	NP_2	IV	de	bǐ	NP_3	Man
(11)	Tā	shwō	Yīngwén	shwō	de	bǐ	wǒ	hǎu.
			(English)				(me)	

'He speaks English better than I.'

(12) Tā chī fàn chī de bǐ wǒ kwài.
(eat) (rice) (fast)
'He eats rice faster than I.'

Although the sentence structures of English and Chinese are different, the Chinese stative verbs and adverbs of manner have the same function as those in English. For example, the question "How tall is he?" in Chinese will be like this:

(13) Tā dwó gāu?
(he) (how) (tall)

And the answer may be:

(14) Tā wǔ-chǐ gāu.
(he) (five-feet) (tall)

Therefore, the same *that*-constituent (nèmma) can be used to show the derivation of the Chinese comparative constructions.

Sentence (1) is derived from the following two source-sentences:

(15) Tā nèmma gāu. (that)
(16)
(17) Wǒ nèmma gāu. } ⟶ Tā bǐ wǒ nèmma gāu.

(1) $\xrightarrow{ob}$ Tā bǐ wǒ gāu.

The derivation of (11)

(22) Tā shwō Yīngwén shwō de nèmma hǎu.
(23) Wǒ shwō Yīngwén shwō de nèmma hǎu. } ⟶

(24) $\xrightarrow{ob}$ Tā shwō Yīngwén shwō de bǐ wǒ shwō Yīngwén shwō de nèmma hǎu.

(25) $\xrightarrow{op}$ Tā shwō Yīngwén shwō de bǐ wǒ shwō Yīngwén shwō de hǎu.

(26) $\xrightarrow{op}$ Tā shwō Yīngwén shwō de bǐ wǒ shwō de hǎu.

(27) $\xrightarrow{op}$ Tā shwō Yīngwén shwō de bǐ wǒ hǎu.

2. Similarity

The derivation of the *gēn...yíyàng* construction is about the same as the *bǐ* construction. Take Sentence (4), for example:

(28) Tā nèmma gāu.
(29)
(30) Wǒ nèmma gāu. } ⟶ Tā gēn wǒ yíyàng nèmma gāu.

(4) $\xrightarrow{ob}$ Tā gēn wǒ yíyàng gāu.

The derivation of the *gēn...yíyàng* sentence containing a transitive verb would be like this:

(31) Tā shwō Yīngwén shwō de nèmma hǎu.
(32) Wǒ shwō Yīngwén shwō de nèmma hǎu. } ⟶

(33) Tā shwō Yīngwén shwō de gēn wǒ shwō Yīngwén shwō de yíyàng nèmma hǎu. $\xrightarrow{ob}$

(34) Tā shwō Yīngwén shwō de gēn wǒ shwō Yīngwén shwō de yíyàng hǎu. $\xrightarrow{op}$

(35) Tā shwō Yīngwén shwō de gēn wǒ shwō de yíyàng hàu. $\xrightarrow{op}$

(36) Tā shwō Yīngwén shwō de gēn wǒ yíyàng hǎu.

C. *Rules*

$$\left.\begin{matrix} NP_1+X+nèmma+A \\ NP_2+X+B+Y \end{matrix}\right\}\longrightarrow NP_1+X\begin{bmatrix} gēn \\ bǐ \end{bmatrix}NP_2+X\begin{bmatrix} yíyàng \\ \phi \end{bmatrix}B+Y$$

Condition: (1) A=stative verb, and B=nèmma+stative verb
or (2) A=Adv of Man, and B=nèmma+Adv of Man
(3) B+Y in *bǐ* construction is not negative.

Deletion:

T1. (Ob)

$$NP_1+X\begin{bmatrix} gēn \\ bǐ \end{bmatrix}NP_2+X\begin{bmatrix} yíyàng \\ \phi \end{bmatrix}nèmma+A+Y\longrightarrow$$

$$NP_1+X\begin{bmatrix} gēn \\ bǐ \end{bmatrix}NP_2+X\begin{bmatrix} yíyàng \\ \phi \end{bmatrix}A+Y$$

The rules given above are general ones that cover all the comparative constructions of Chinese. The X and Y indicate any elements or nothing. The sentences generated by the rules are all grammatical, but in writing optional rules for sentences containing VI's, and VT's, we may develop the X, if not null, so that they can produce idiomatic forms people use in their ordinary conversation.

T2. (Op)

$$NP_1+VP_1\begin{bmatrix} gēn \\ bǐ \end{bmatrix}NP_1+VP_2\begin{bmatrix} yíyàng \\ \phi \end{bmatrix}A+Y\longrightarrow$$

$$NP_1\begin{bmatrix} gēn \\ bǐ \end{bmatrix}NP_2\begin{bmatrix} yíyàng \\ \phi \end{bmatrix}A+Y$$

Condition: $VP_1=VP_2$

VP=any intransitive verb+de

T3. (Op)

$$NP_1+VT_1+NP_2+VP_1\begin{bmatrix}gēn\\bǐ\end{bmatrix}NP_3+VT_2+NP_4+VP_2\begin{bmatrix}yíyàng\\\phi\end{bmatrix}A+Y$$

$$\longrightarrow NP_1+VT_1+NP_2+VP_1\begin{bmatrix}gēn\\bǐ\end{bmatrix}NP_3+VP_2\begin{bmatrix}yíyàng\\\phi\end{bmatrix}A+Y$$

Conditions: $VT_1=VT_2$

$NP_2=NP_4$

$VP_1=VP_2=VT+de$

T4. (Op)

$$NP_1+VT_1+NP_2+VP_1\begin{bmatrix}gēn\\bǐ\end{bmatrix}NP_3+VP_2\begin{bmatrix}yíyàng\\\phi\end{bmatrix}A+Y\longrightarrow$$

$$NP_1+VT_1+NP_2+VP_1\begin{bmatrix}gēn\\bǐ\end{bmatrix}NP_3\begin{bmatrix}yíyàng\\\phi\end{bmatrix}A+Y$$

Condition: $VP_1=VP_2$

Ⅲ. Conclusion

Both the English and Chinese rules given here generate all and only well-formed sentences of the two languages. The important thing one must be aware of when doing contrastive analysis of English and Chinese comparative constructions is the different syntactic functions of *as...as* and *gēn...yíyàng*, of *more...than* and *bǐ*.

In some textbooks for teaching Chinese as a foreign language, both *gēn* and *bǐ* are labelled as "co-verb," but they do not have the same syntactic behavior. The *gēn* in *Tā gēn wǒ yíyàng gāu* has the similar function as *and* in English as in *He and I are equally tall.* The *bǐ* in *Tā bǐ wǒ gāu* performs quite a different role, for there is no such utterance as **Tā bǐ wǒ yíyàng gāu*, or **Tā gēn wǒ gāu.*

There is no comparative word like *more* or any adjective or adverb that shows comparative degree like *-er* in Chinese comparative constructions. Almost all English-Chinese dictionaries give the meaning of *more* as *gèng* (更) in Chinese. Actually, *gèng* is a stress morpheme indicating *even more*, and has a different syntactic behavior. If we say, for instance, "Tā bǐ wǒ gèng gāu," we do not mean that "He is taller than I," but that "He is even taller than I." In other words,

this sentence occurs within the context "I am a very tall man." Therefore, in writing rules for comparison, we must not allow *gèng* to go with *bǐ* in Chinese comparative constructions.

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NOTES

(1) *Word* 17, 171-85 (1961).

(2) *Language* 37, No. 3, 342-65 (1961).

(3) These structures are fully discussed by Harris in his article "Co-occurrence and Transformation in Linguistic Structure."

(4) Later morphophonemic rules will convert such expressions with monosyllabic adjectives as *more tall* into the appropriate inflected form *taller*.

(5) Lees also calls them the first source-sentence and the second source-sentence.

(6) Lees's *The Grammar of English Nominalizations*, IJAL 26, No. 3 (1960).

(7) The romanization used here is the Yale system.
Tones: ¯ —1st tone, high level.
´ —2nd tone, high rising.
ˇ —3rd tone, low dipping.
` —4th tone, high falling.
The neutral tone is unmarked.

(8) The other possible expression is *Tā yǒu wǒ nèmma gāu*, which can also be translated as 'He is as tall as I,' but the *gēn...yíyàng* construction is more frequently used. On the other hand, the *gēn...yíyàng* construction seems closer to an English construction with *equally*—e. g. *He and I are equally tall*—than it does to the *as...as* construction. However, since the expression *He and I are equally tall* is less frequently used than that of *He is as tall as I*, the author of this paper prefers to compare the Chinese *gēn...yíyàng* with the English *as...as* constructions.

BOOLEAN ALGEBRA TODAY

MICHAEL RICHARTZ, SVD.

INTRODUCTION

As the title *Boolean Algebra Today* suggests, the modern Boolean algebra seems to differ from the original algebra studied by the English mathematician George Boole more than a century ago. In a little book *The Mathematical Analysis of Logic* (1847) Boole applied the algebraical method to logic. A further elaboration of the same ideas, with applications to probability, was given in *An Investigation of the Laws of Thought* (1854). Here it was shown how Aristotle's laws of formal logic, which had been taught for centuries in the universities, could themselves be made the subject of a calculus. This "algebra of logic" opened a school of thought which endeavored to establish a unification of logic and mathematics.

For many years this type of algebra was considered to be essentially different from any of the more conventional algebraic systems and it has been in only relatively modern times that the true position of Boolean algebra as an algebraic structure has been recognized. The principal reason for the great interest in Boolean algebra today is that many applications of this discipline have been found in connection with various systems of automation.

It is the purpose of this paper to give a brief account of Boole's new algebra with its subsequent modifications and the relation of the modern Boolean algebra to other algebraic systems.

THE NEW ALGEBRA

Boole was stimulated to study the problem of logic by a dispute between the logician De Morgan and the Scotch philosopher Sir William Hamilton. "There is nothing to prevent us," Boole says, "from denoting an idea by a single letter." Thus logical deductions can be translated into algebraic ones, if we replace combinations of ideas by mathematical symbols. This leads to Boole's first proposition.

All the operations of language, as an instrument of reasoning, may be conducted by a system of signs composed of the following elements, viz.:

1) Literal symbols, as x, y, etc., representing things as subjects of our conceptions.

2) Signs of operation, as $+$, $-$, $\times$, standing for those operations of the mind by which the conceptions of things are combined or resolved so as to form new conceptions involving the same elements.

3) The sign of identity, $=$.

These symbols of logic are in their use subject to definite laws, partly agreeing with and partly differing from the laws of the corresponding symbols in the science of algebra.

Boole's algebra of logic is properly called an algebra since all four elementary operations of algebra are defined. It uses only arithmetical symbols and has only one law that diverged from those of arithmetic, viz., $x^n=x$. The numbers 1 (one) and 0 (zero) occupy special positions in so far that 1 designates the *universe* of elements while 0 represents the *null set* (1 and 0 correspond to $\cup$ and ϕ in set theory). Another characteristic of Boole's doctrine is that he introduces symbols and procedures which admit of no logical interpretation. Boole's tendency to mathematize leads to difficulties and unnecessary complications; e. g., disjunction (symbolized by $x+y$) is taken as exclusive; inclusion is expressed by means of equality.

The following laws established under symbolical forms are sufficient for the base of a calculus.

1st. The result of an act of election is independent of the grouping of the subject. That is,

$$x(u+v)=xu+xv,$$

$u+v$ representing the undivided subject, and u, v the component parts of it.

2nd. It is indifferent in what order two successive acts of election are performed. The symbolical expression of this law is

$$xy=yx.$$

3rd. The result of a given act of election performed twice, or any number of times in succession, is the result of the same act performed once. Thus we have

$xx=x$, or $x^2=x$, and $x^n=x$.

Boole gives some examples of the application of these principles. The following example concerns the law of contradiction. Aristotle has described it as the fundamental axiom of all philosophy. Its symbolical expression is $x^2=x$. Writing this equation in the form $x-x^2=0$ we get $x(1-x)=0$. Let us give to the symbol x the interpretation of *men*, then $1-x$ will represent the class of *not-men*. Now the formal product of the expressions of two classes represents that class of individuals which is common to them both. Hence, $x(1-x)$ represents the class whose members are at once men and not-men. Thus the equation expresses the principle that a class whose members are at the same time men and not-men does not exist ($=0$).

The logical sum. As mentioned above, Boole's exposition lacks the concept of the logical sum. It first appears in the works of Peirce (1867), Schröder (1877) and Jevons (1890). Peirce uses the sign of equality with a comma beneath it to express numerical identity and the plus sign with a comma beneath it to indicate logical addition. Then the operation performed will differ from arithmetical addition in two respects: first, it has reference to identity, not to equality, and second, elements being common to the individuals are not taken into account twice in logical addition, as it would be in arithmetic.

Inclusion. The concept of inclusion was introduced by Gergonne (1816) and clearly formulated by Peirce (1870). Boole has no symbol for inclusion, though that is fundamental in logic. When every member of a set A is also a member of a set B, then A is said to be "included" in B, the relation of set inclusion being symbolized by "$\subset$".

Application to probability. If, of n "equally likely" events, m are "favorable", then the probability $p(x)$ is

$$p=p(x)=m/n.$$

Here x stands for the favorable occurrence. Correspondingly, the probability that the favorable event will not appear is

$$p(1-x)=n-m/n=1-m/n=1-p.$$

Here the event "complementary" to x is denoted by $(1-x)$.

Furthermore, if x and y are events with probabilities p and q, then pq is the probability that both events will happen, The following table shows the compound events determined by x and y and their corresponding probabilities.

Event	Probability
xy	pq
$x(1-y)$	$p(1-q)$
$(1-x)y$	$(1-p)q$
$(1-x)(1-y)$	$(1-p)(1-q)$

The simple correspondences can be used to solve more complicated problems in the theory of probability.

Boolean algebra of propositions. The simplest system which satisfies the postulates of a Boolean algebra contains only the two elements 1 and 0. The complete operation table for this system is given in Table 2. Therein we replace the symbols for addition and multiplication by the symbols that are called "union" and "intersection", respectivcly.

Table 2

x	y	$x \cup y$	$x \cap y$	x'
1	1	1	1	0
1	0	1	0	0
0	1	1	0	1
0	0	0	0	1

Table 3

p	q	$p \cup q$	$p \cap q$	p'
T	T	T	T	F
T	F	T	F	F
F	T	T	F	T
F	F	F	F	T

We now will show that the "algebra of logic" or "propositional calculus" is equivalent to this Boolean algebra. If p and q are propositions, the disjunction of p and q is the proposition "p or q" and is denoted by $p \cup q$. This compound statement is true if at least one of p or q is true, and false if both these statements are false. The conjunction of p and q is the proposition "p and q" and is denoted by $p \cap q$. This compound statement is true if both p and q are true. and otherwise false. The negation of a proposition p is "not p" and

is denoted by p'. The truth values for the propositions $p \cup q$, $p \cap q$, and p' are given in Table 3, known as "truth table" for the various compound propositions.

A comparison of Table 3 with Table 2 reveals that these two tables are very much alike. There exists a correspondence between the two systems. Propositions p and q correspond to the elements x and y, respectively; T and F correspond to 1 and 0, respectively. Hence, the Algebra of Logic—in particular Tautologies—is equivalent to the Boolean Algebra B(0, 1).

BOOLEAN ALGEBRAS AS ABSTRACT STRUCTURES

Without fully realizing what he had done, Boole had taken the first and decisive step toward the abstract algebraic structure. There is a common algebraic structure attached to many different systems, namely, the five basic properties: the commutative laws of addition and multiplication, the associative laws for addition and multiplication, and the distributive law for multiplication over addition. These properties are regarded as postulates for a particular type of algebraic structure.

A Boolean algebra may be defined as a set B of elements x, y, z,..., operated on by the dual binary operators of union or intersection with the following properties: closure; commutative law; distributive law; identity; complement; inclusion.

B contains other fundamental properties which can be deduced from the above-mentioned ones. (The reader may consult the *References* for details).

The mathematicians have deduced a tremendous number of *theorems related to Boolean algebra.* No text on abstract algebra can be done without mentioning Boolean algebra. One may find it in Algebra of Sets, Algebra of Lattices, Algebra of Rings. The entire field of Boolean algebra is of first rate importance in the modern abstract algebra.

Boolean algebra, "the historical source of lattice theory", found its natural place in that theory as a special type. The connection between *Boolean algebras and lattices* is made apparent by the following

definition: "A Boolean algebra is a complemented and distributive lattice."

Since the lattice of subsets of a set is complete and distributive, it is easy to see that the set of all subsets of a set, with the usual compositions of union, intersection, and complementation, is a Boolean algebra. This example is so basic that a Boolean algebra is sometimes defined as an abstraction of this algebra of sets.

The relation between a *Boolean algebra and commutative rings* is made clear by the following theorem: "Any Boolean algebra is a ring if the ring operations of addition and multiplication are suitably defined." The essential properties of the ring are that it has an identity and that its elements are idempotent. This leads to the following definition: "A ring is said to be Boolean if all of its elements are idempotent."

The following theorem clarifies the relation between a *Boolean ring and a two-value logic.*

Theorem. "A Boolean ring of two elements 0 and a is isomorphic to the two-value logic under complete and exclusive disjunction and conjunction."

Boolean algebras as abstract mathematical structures have become models not only for other mathematical or logical systems but even for industrial systems. The possibility of applying Boolean algebra to electric circuits was first pointed out by the Russian physicist Ehrenfest about 1910. But the practical use seemed to start in 1938 when Dr. Claude E. Shannon published a paper entitled "A Symbolic Analysis of Relay and Switching Circuits." Since then symbolic analysis supplies the basis for the logical design used in modern digital computers, switching systems, and industrial control systems. A comprehensive chronological list of references regarding these basic applications is given in Flegg's *Boolean Algebra and Its Application.*

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今日柏林代數 (Boolean Algebra)

MICHAEL RICHARTZ, SVD.

摘　　要

這篇論文對柏氏新的代數和它的演變作了簡短的說明，並討論近世代數和其它代數系統之間的關係，目前由于它在許多自動控制系統中的應用引起了對柏氏代數極大的注重和興趣。

ON INFLECTION POINTS OF SPACE CURVES UNDER AN INVERSION AND ONE OF ITS APPLICATIONS

YI-CHING YEN

The inflection point of a space curve of class C^3 is a point where the osculating plane of the point does not cross the curve as it does at ordinary point of the curve(1). Thus the osculating plane has no less than four points of contact with the curve at an inflection point; then either curvature or torsion vanishes at this point(2). If we assume that the curve has no part of line segment, then the point of the curve is inflectional whenever its torsion vanishes, and the curve has a change of torsion in a neighborhood of the point.

We begin our discussion as follows: Let $C: \alpha=\alpha(s)$ be a regular twisted space curve of class C^3. By Frenet-Serret formulae,

$$(1) \qquad \frac{d\boldsymbol{t}}{ds}=\kappa\boldsymbol{n},\ \frac{d\boldsymbol{n}}{ds}=-\kappa\boldsymbol{t}+\tau\boldsymbol{b},\ \frac{d\boldsymbol{b}}{ds}=-\tau\boldsymbol{b},$$

where κ, τ are respectively curvature and torsion of C and $\boldsymbol{t}$, $\boldsymbol{n}$, $\boldsymbol{b}$ are respectively the unit tangent vector, principal normal vector and binormal vector to C such that $(\boldsymbol{t}, \boldsymbol{n}, \boldsymbol{b})=1$.

If the sphere of inversion has radius a and center 0 and $\vec{OP}=\boldsymbol{r}$, $\vec{OP'}=\bar{\boldsymbol{r}}$, then

$$(2) \qquad \bar{\boldsymbol{r}}=\frac{a^2\boldsymbol{r}}{\boldsymbol{r}\cdot\boldsymbol{r}},\ \boldsymbol{r}=\frac{a^2\bar{\boldsymbol{r}}}{\bar{\boldsymbol{r}}\cdot\bar{\boldsymbol{r}}},$$

where P is a point of C and P′ is the inverse point which describes C′ as P describes C. ds, $d\bar{s}$ are arc length of C, C′ respectively. Then

$$(3) \qquad \frac{ds}{d\bar{s}}=\frac{\boldsymbol{r}\cdot\boldsymbol{r}}{a^2}=\frac{a^2}{\bar{\boldsymbol{r}}\cdot\bar{\boldsymbol{r}}}.$$

If $\boldsymbol{u}$ is any unit vector at P and $\bar{\boldsymbol{u}}$ is the corresponding unit vector at P′, it can be shown that

$$(4)\qquad \bar{u}=u-\frac{2r\cdot u}{r\cdot r}r.$$

In particular,

$$(5)\qquad \bar{t}=t-\frac{2r\cdot t}{r\cdot r}r,\ \bar{n}=n-\frac{2r\cdot n}{r\cdot r}r,\ \bar{b}=b-\frac{2r\cdot b}{r\cdot r}r.$$

Since inversion carries a right trihedral system into a left trihedral system, and vice versa, it is necessary to take $\bar{\bar{b}}=-\bar{b}$ in order preserve the convention that the trihedral systems have the same orientation. The trihedral system for C′ is therefore $\bar{t}$, $\bar{n}$, $\bar{b}$ and the Frenet-Serret formulae for C′ become

$$(6)\qquad \frac{d\bar{t}}{d\bar{s}}=-\bar{\kappa}\bar{n},\ \frac{d\bar{n}}{d\bar{s}}=-\bar{\kappa}\bar{t}=\bar{\tau}\bar{b},\ \frac{d\bar{b}}{d\bar{s}}=-\bar{\tau}\bar{n}.$$

Differentiating the first expression of (5) with respect to $\bar{s}$, and substituting from (1), (3), (6), we obtain

$$(7)\qquad \bar{\kappa}\bar{n}=\frac{d\bar{t}}{d\bar{s}}$$
$$=\frac{r\cdot r}{a^2}\left[\kappa n-\frac{2r\cdot t}{r\cdot r}-2r\left(\frac{1}{r\cdot r}+\frac{\kappa(r\cdot n)}{r\cdot r}-\frac{4(r\cdot t)^2}{(r\cdot r)^2}\right)\right]$$

The inner product of (7) with $\bar{n}$ yields:

$$\bar{\kappa}=\frac{1}{a^2}\left[\kappa(r\cdot r)n-2(r\cdot t)t-2r\left(1+\kappa r\cdot n-\frac{2(r\cdot t)^2}{t\cdot r}\right)\right]\left(n-2\frac{r\cdot n}{r\cdot r}r\right)$$
$$=\frac{\kappa(r\cdot r)}{a^2}+\frac{2}{a^2}(r\cdot n).$$

Differentiating with respect to $\bar{s}$ reduces:

$$\frac{d\bar{\kappa}}{d\bar{s}}=\frac{1}{a^2}\left[2\kappa(r\cdot t)+\frac{d\kappa}{ds}(r\cdot r)+2r\cdot(-\kappa t+\tau b)\right]\frac{ds}{d\bar{s}}.$$

Substituting from (3),

$$(8)\qquad \frac{d\bar{\kappa}}{d\bar{s}}=\left(\frac{ds}{d\bar{s}}\right)^2\left(\frac{d\kappa}{ds}\right)+\frac{2\tau}{a^2}(b\cdot r)\frac{ds}{d\bar{s}}.$$

Similarly,

$$(9)\qquad \frac{d\kappa}{ds}=\left(\frac{d\bar{s}}{ds}\right)^2\left(\frac{d\bar{\kappa}}{d\bar{s}}\right)-\frac{2\bar{\tau}}{a^2}(\bar{b}\cdot\bar{r})\frac{ds}{ds}.$$

Differentiating the third expression of (5) with respect to $\bar{s}$, and substituting from (1), (3) and (6), we obtain

$$(10)\qquad \bar{\tau}\bar{n}=\frac{d}{ds}(-\bar{\bar{b}})$$
$$=\Big[-\tau n-2\frac{r\cdot b}{r\cdot r}t-2r\Big(\frac{-\tau(r\cdot n)}{r\cdot r}-\frac{2(r\cdot b)(r\cdot t)}{r\cdot r}\Big)\Big]\frac{ds}{d\bar{s}}$$
$$=\frac{1}{a^2}\Big[-\tau(r\cdot r)n-(r\cdot b)t+2\tau(r\cdot n)r+\frac{4(r\cdot b)(r\cdot t)}{r\cdot r}\Big].$$

The inner product of (10) with $\bar{n}$ produces:

$$(11)\qquad \bar{\tau}=\frac{1}{a^2}\Big[-\tau(r\cdot r)n-2(r\cdot b)t+2\tau(r\cdot n)r$$
$$+\frac{4(r\cdot b)(r\cdot t)}{r\cdot r}\Big](n-\frac{2r\cdot n}{r\cdot r}r)$$
$$=-\tau\frac{r\cdot r}{a^2}$$
$$=-\tau\frac{ds}{d\bar{s}}.$$

Thus we can obtain theorems such as

Theorem 1. The inflection point of a twisted regular space curve of class C^3, not at the center of an inversion, is carried by the inversion into the inflection point of its image curve of class C^3.

By (11) and the definition of inflection point the result follows immediately.

Theorem 2. By an inversion, the vertex (that is, the relative extremum of curvature) of a plane curve of class C^3 corresponds to either the inflection point of a twisted space curve of class C^3 or the vertex of a plane curve of the same class.

Let the plane curve be C and the corresponding image curve be C′. Then $\tau\equiv 0$, By (8), at the point of C that satisfies $\frac{d\kappa}{ds}=0$, the corresponding point of C′ satisfies $\frac{d\bar{\kappa}}{d\bar{s}}=0$. Thus, by (9), $\bar{\tau}=0$ or $\bar{\tau}\equiv 0$, and the theorem is proved. In the latter case, by (8), the maxima and minima of curvature are preserved under inversion.

Stereographic projection of a plane tangent to a sphere Σ onto Σ is an inversion with center at the north pole of Σ and radius,

the diameter of Σ. It is a well-known fact that under stereographic projection, the meridians and parallels correspond respectively to lines and circles of a plane tangent to Σ at the south pole of Σ. Therefore, if a simple closed curve C in an ordinary plane meets neither any line nor any circle in more than four points, its image curve C' under stereographic projection will meet no plane in more than four points. Neither meets C' any line in more than two points ("no trisecant"), since no line can intersect a sphere in more than two points. A companion theorem of the four-vertex theorem[3] states that a smooth simple closed plane curve of class C^2 has exactly four vertices, provided it meets no circle nor line in more than four points. And the Scherk-Segre theorem[1] says that a smooth simple closed curve in ordinary space which has no trisecant and meets no plane in more than four points, has exactly four inflection points. Thus if a simple closed plane curve C of class C^3 meets neither any line nor any circle in more than four points, its image curve C' under stereographic projection will satisfy the conditions of the Scherk-Segre theorem, and since the stereographic projection is an inversion, by theorem 2, the four vertices of C correspond to the four inflection points of C'. Therefore we have

Theorem 3. The companion theorem of the four-vertex theorem is contained in the Scherk-Segre theorem under stereographic projection,[4] provided the plane curve of the former theorem is of class C^3.

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在反轉變換下空間曲線反曲點的對應關係與其應用

顏 一 清

摘 要

在所考慮曲線皆屬於 C^3 之下，一空間曲線在某點的曲率平面不切過此點隣近的曲線線段，則此點稱爲反曲點。在反轉變換下，空間曲線的反曲點對應于其反轉空間曲線的反曲點。若曲線爲平面曲線，則頂點（曲率取極值時曲線上之點稱爲頂點）對應于反轉空間曲線的反曲點或反轉平面曲線的頂點。由此等關係可導出：四頂點定理（即：一平面閉曲線若不交任何直線或圓於四點，則有四頂點）在立體圖法變換（Sterographic projection）下，可屬于 Scherk-Segre 定理（即：一空間閉曲線不交任何直線于三點及任何平面于四點，則有四反曲點）。

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